

# **EXHIBIT I**

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK

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	:	
SARSVATKUMAR PATEL,	:	
	:	
Plaintiff,	:	
	:	Civil Action No. 17-cv-02170 (NGG)(JO)
-against-	:	
	:	
LONG ISLAND UNIVERSITY,	:	
	:	
Defendant.	:	
-----	X	

**LONG ISLAND UNIVERSITY’S AMENDED RESPONSES AND OBJECTIONS TO  
PLAINTIFF’S COMBINED FIRST SET OF INTERROGATORIES AND REQUEST  
FOR THE PRODUCTION OF DOCUMENTS**

In accordance with Rules 33 and 34 of the Federal Rules of Civil Procedure, Defendant Long Island University (“LIU”), by its attorneys Clifton Budd & DeMaria, LLP, provide the following amended responses and objections to Plaintiff Sarsvatkumar Patel’s (“Plaintiff”) Combined First Set of Interrogatories and Request for the Production of Documents (“Discovery Requests”):

**QUALIFICATIONS AND GENERAL OBJECTIONS**

1. The answers set forth herein are made without prejudice to, and without waiving, the following:

(a) LIU’s rights to object on the grounds of competency, privilege, relevancy, materiality, or any other proper ground, to the use of any information which may hereinafter be provided or produced in response to Plaintiff’s Discovery Requests, for any purpose, in whole or in part, in any subsequent step or proceeding in this action or any other action.

(b) LIU's rights to object on any and all grounds at any time to other discovery procedures involving or relating to the subject matter of Plaintiff's Discovery Requests herein answered.

(c) LIU's rights to provide, at any time, supplements, additions, revisions, corrections, or clarifications with respect to any of the information provided, or the answers or objections made, in response to Plaintiff's Discovery Requests.

2. The following answers are based upon information presently known to be available to LIU, and except where explicit facts are admitted herein, no incidental or implied admissions are intended hereby. The fact that LIU has answered any part hereof should not be taken as an admission that Defendant accepts or admit the existence of any facts set forth or presumed by Plaintiff's Discovery Requests or that such answers constitute admissible evidence. The fact that LIU has answered part or all of any request in Plaintiff's Discovery Requests is not and shall not be construed by Plaintiff as a waiver by LIU of all or any part of any objection to any request.

3. LIU generally objects to Plaintiff's characterization of certain of the documents and information requested. The fact that LIU has answered any part hereof should not be taken as an admission that LIU accepts such characterization.

4. LIU generally objects to Plaintiff's Discovery Requests to the extent they seek information exempt from discovery under the attorney-client privilege and/or the attorney work-product privilege.

5. LIU generally objects to Plaintiff's Discovery Requests to the extent their scope is overly broad and unduly burdensome, they seek information that is not relevant to any claim or defense of any party and they are not reasonably calculated to lead to the discovery of admissible evidence.

**RESPONSES AND OBJECTIONS**  
**(INTERROGATORIES)**

**Interrogatory No. 1:**

**Please identify yourself, additionally providing your current occupation, employer and title, and, to the extent that you do, please state the position and title you hold with the Defendant Long Island University ("the University").**

**Response:**

Matthew Siebel, Esq., Associate Counsel at LIU.

**Interrogatory No. 2:**

**Identify, by name and title, each and every individual who possesses knowledge of any of Plaintiffs' allegations as described in the Complaint or any defenses Defendant has asserted in its Answer.**

**Response:**

LIU objects to this interrogatory as overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, the following individuals have knowledge concerning Plaintiff's allegations in the Complaint and/or any defenses LIU may assert:

1. Sarsvatkumar Patel
2. Rutesh Dave ("Dave")  
Associate Professor and Division Director of Pharmaceutical Sciences at LIU's Arnold & Marie Schwartz College of Pharmacy and Health Sciences ("College of Pharmacy")
3. Stephen Gross ("Gross")  
Former Dean of LIU's College of Pharmacy
4. Anthony Cutie ("Cutie")  
Professor of Pharmaceutics and Former Division Director of Pharmaceutical Sciences
5. David Taft ("Taft")  
Professor of Pharmaceutics and Former Dean of LIU's College of Pharmacy
6. Jeffrey Kane ("Kane")  
Former Vice President for Academic Affairs at LIU
7. Maria Greco ("Greco")  
Benefits Administrator
8. Lee Kelly ("Kelly")



Former Interim Executive Director of Human Resources

9. Debra Annibell (“Annbell”)  
Former Director of Human Resources Operations
10. Matthew Siebel, Esq. (“Siebel”)  
Associate Counsel

**Interrogatory No. 3:**

**Identify, by name and title, each and every individual who was involved in the decision to hire Plaintiff as Assistant Professor at the University.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous, overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, Cutie made a request to Taft, on behalf of the Division of Pharmaceutical Sciences (the “Division”), that the Arnold & Marie Schwartz College of Pharmacy and Health Sciences (the “College”) offer Plaintiff a position as assistant professor in the Division. On January 5, 2012, Taft made a recommendation to Kane that LIU appoint Plaintiff to this position. On January 10, 2012, Kane offered Plaintiff an assistant professor position in the College.

**Interrogatory No. 4:**

**Identify any and all written complaints lodged, filed, or asserted by University students regarding Plaintiff during his employment for Defendant.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. LIU further objects to this request to the extent it seeks information protected from disclosure pursuant to the Family Educational Rights and Privacy Act, 20 U.S.C. § 1232g (“FERPA”).

**Interrogatory No. 5:**

**Identify any and all written complaints lodged, filed or asserted by University employees (including colleagues, co-workers, and/or supervisors) regarding Plaintiff during his employment for Defendant.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, on or about February 14, 2013, Taft issued to Patel a memorandum concerning his gross neglect of his duties.

**Interrogatory No. 6:**

**Identify each and every University employee and/or official who was made aware of the Sworn Affidavit that Plaintiff submitted in the matter of *Supriya Bavadekar v. Long Island***

***University et al. (6186-2014)*, dated January 16, 2015, and identify the date in which each such person was made aware.**

**Response:**

LIU objects to this interrogatory overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, the following individuals were made aware that Plaintiff submitted an affidavit, dated January 16, 2015 (the “Affidavit”), in the action entitled *Supriya Bavadekar v. Long Island University*, and the date, upon information and belief, that these individuals were notified that Plaintiff submitted an affidavit:

LIU EMPLOYEE	TITLE	ESTIMATED DATE LIU EMPLOYEE LEARNED THAT PLAINTIFF SUBMITTED THE AFFIDAVIT
Siebel	Associate Counsel	On or about February 27, 2015
Kelly	Former Interim Executive Director of Human Resources	Upon information and belief, on or about April 15, 2015
Kane	Former Vice President for Academic Affairs	Unknown
Taft	Professor of Pharmaceutics and Former Dean of LIU’s College of Pharmacy	Upon information and belief, on or about February 27, 2015
Cutie	Professor of Pharmaceutics and Former Division Director of Pharmaceutical Sciences	Upon information and belief, on or about February 27, 2015
Joanne Cavallo	Executive Assistant to the Vice President and Paralegal	Upon information and belief, on or about February 27, 2015
Gale Stevens Haynes	Current Vice President of Academic Affairs for LIU Brooklyn (Vice President, Chief Operating Officer and University Counsel in February 2015)	Upon information and belief, on or about February 27, 2015

**Interrogatory No. 7:**

**Identify any and all formal disciplinary action Plaintiff was subjected to over the course of his employment at the University, including the date of the disciplinary action, the nature of the disciplinary action, and the individuals who recommended that such action be taken.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, on or about February 14, 2013, Taft issued Plaintiff a memorandum concerning Plaintiff's gross neglect of his duties.

**Interrogatory No. 8:**

**Identify any internal rules, regulations, or policies of the University which relate in any way to how employees are treated if they take leaves of absence under the FMLA.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous, overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, LIU refers Plaintiff to LIU's Family and Medical Leave Act ("FMLA") policy, produced herein as LIU1-6, and the collective bargaining agreement between the College's Chapter of the American Association of University Professors and The Board of Trustees of Long Island University (the "CBA"), produced herein as LIU12-102, for the FMLA policies applicable to Plaintiff in November 2014 through March 2015.

**Interrogatory No. 9:**

**Identify whether Defendant provided any FMLA documentation to Plaintiff prior to his a medical leave of absence in January 2015, including any documents relating to: (1) Plaintiffs eligibility for FMLA leave; (2) notice of rights and obligations under the FMLA; or (3) notice that Plaintiffs leave was being treated as FMLA leave.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous, not reasonably calculated to lead to the discovery of admissible evidence and to the extent it characterizes Plaintiff's leave to care for his newborn child as a "medical leave."

**Interrogatory No. 10:**

**Identify whether Division Director Rutesh Dave ever told Plaintiff that his taking paternity leave could "affect [his] future reappointment and tenure," as alleged in paragraph 31 of the Complaint.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, LIU refers Plaintiff to paragraph 31 of its Answer, which denies the allegations.

**Interrogatory No. 11:**

**Identify, by name and title, each and every individual involved in the decision not to grant Plaintiff reappointment.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, Kane, Gross and Dave were involved in the decision not to reappoint Plaintiff in August 2015.

**Interrogatory No. 12:**

**Identify by name all faculty members at the University's College of Pharmacy and Health Science who applied for, and were granted reappointment in 2015.**

**Response:**

LIU objects to this interrogatory as overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, the following tenure-track faculty members in the College of Pharmacy's Pharmaceutical Sciences Division applied for reappointment and were granted reappointment in 2015:

NAME	POSITION	REAPPOINTMENT YEAR
Dovenia Ponnoth	Assistant/PS	1 <sup>st</sup> and 2 <sup>nd</sup> Reappointment
Jun-Yen Yeh*	Assistant/PS	3 <sup>rd</sup> Reappointment

\*Jun-Yen Yeh was denied reappointment in, upon information and belief, 2017.

**Interrogatory No. 13:**

**Identify all faculty members at the University's College of Pharmacy and Health Science who applied for, and were not granted reappointment in 2015.**

**Response:**

LIU objects to this interrogatory as overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, the following tenure-track faculty members in the College of Pharmacy's Pharmaceutical Sciences Division applied for reappointment and were not reappointed in 2015:

NAME	POSITION	REAPPOINTMENT YEAR
Sarsvatkumar Patel	Assistant/PS	3 <sup>rd</sup> Reappointment

**Interrogatory No. 14:**

**Identity all rules, regulations and policies of Defendant that Plaintiff violated over the course of his employment at the University.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, LIU refers Plaintiff to documents produced herein as LIU1-6, LIU12-430.

**Interrogatory No. 15:**

**Identify all persons who Defendant intends to call as witnesses should the matter proceed to trial.**

**Response:**

LIU objects to this interrogatory as overly broad, unduly burdensome, not reasonably calculated to lead to the discovery of admissible evidence and premature. Subject to and without waiving said objections, LIU has not yet determined what witnesses they will call to testify should this action proceed to trial. LIU reserves the right to supplement and/or amend this response within the time and manner permitted by the Fed. R. Civ. P.

**Interrogatory No. 16:**

**Identify any expert witnesses that Defendant intends to call to testify in this matter, specifying the expert's area of expertise and what said expert will be testifying about.**

**Response:**

LIU objects to this interrogatory as overly broad, unduly burdensome, not reasonably calculated to lead to the discovery of admissible evidence and premature. Subject to and without waiving said objections, LIU has not yet determined what expert witnesses, if any, they will call to testify should this action proceed to trial. LIU reserves the right to supplement and/or amend this response within the time and manner permitted by the Fed. R. Civ. P.

**Interrogatory No. 17:**

**Identify, by name and title each and every individual who supplied or gathered information used in formulating the answers to these interrogatories, and for each such person, specify the interrogatories for which he/she supplied or gathered information.**

**Response:**

LIU objects to this interrogatory as vague, ambiguous, overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, Siebel, Taft, Dave, Gross and Greco gathered and/or supplied information used to formulate answers to these interrogatories.

**Interrogatory No. 18:**

**If in response to any interrogatory you have refused to disclose any information or identity of any person, document or oral communication because of a claim of confidentiality or privilege, set forth in detail the facts and circumstances upon which you rely to support this claim.**

**Response:**

LIU refers Plaintiff to LIU's responses and objections to Plaintiff's Interrogatory No. 4.

**RESPONSES AND OBJECTIONS**  
**(DOCUMENT REQUESTS)**

**Request No. 1**

**Please provide any and all documents reflecting or evidencing, meetings, discussions or any other type of communications regarding Plaintiff by and between officers, employees, and agents of Defendant, including, but not limited to, e-mails, memos, diaries, notes, minutes, calendar entries, video and audio recordings, journals and/or transcripts from 2012 to present.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, irrelevant to any claims or defenses asserted, not reasonably calculated to lead to the discovery of admissible evidence and to the extent it seeks disclosure of information protected from disclosure under the attorney-client and/or attorney work product privileges. Subject to and without waiving said objections, documents responsive to this request are produced as LIU103-434.

**Request No. 2**

**Please provide any and all documents consulted, examined or referred to in preparation of the answers to Plaintiffs interrogatories, including, but not limited to, personal notes maintained by Defendant, or other documents which contain descriptions of events and/or occurrences related to the issues in this litigation, and written summaries of the events and/or statements pertinent to the Plaintiff's contentions therein or the Defendant's denials thereof.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, not reasonably calculated to lead to the discovery of admissible evidence and to the extent it seeks disclosure of information protected from disclosure under the attorney-client and/or attorney work product privileges. Subject to and without waiving said objections, documents responsive to this request are produced as LIU1 – 441.

**Request No. 3**

**Please provide copies of any and all documents upon which the Defendant currently relies in support of its defense(s) to the allegations contained in the Complaint in this matter or in opposition to the allegations contained in the Complaint in this matter.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, not reasonably calculated to lead to the discovery of admissible evidence and to the extent it seeks disclosure of information protected from disclosure under the attorney-client and/or attorney work product privileges. Subject to and without waiving said objections, documents responsive to this request are produced as LIU1 – 441.

**Request No. 4**

**Please provide any and all materials, including, but not limited to, photographs, diagrams, charts, pictures, audio recordings, video recordings, or other depiction of anything related**

**to the allegations in the Complaint which the Defendant plans to offer in evidence or use as demonstrative evidence at the time of trial.**

**Response:**

LIU objects to this request as overly broad, unduly burdensome, not reasonably calculated to lead to the discovery of admissible evidence and to the extent it seeks disclosure of information protected from disclosure under the attorney-client and/or attorney work product privileges. Subject to and without waiving said objections, LIU has not yet determined what exhibits it plans to use at trial. LIU reserves the right to supplement and/or amend this response within the time and manner permitted by the Fed. R. Civ. P.

**Request No. 5**

**Please provide any and all documents that in any way refer to Plaintiff, including his entire personnel file.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU103-441.

**Request No. 6**

**Please provide any and all materials relating to policies, guidelines, handbooks, and/or regulations utilized by the University pertaining to Defendant's anti-discrimination, harassment and/or retaliation policies.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU1-102.

**Request No. 7**

**Please provide any and all materials relating to policies, guidelines, handbooks, and/or regulations utilized by the University, pertaining to employees' medical leaves of absence, or FMLA leaves of absence.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU1-102.

**Request No. 8**

**Please provide copies of any and all collective bargaining agreements entered into by and between the University and Plaintiffs Union during the relevant time period.**



**Response:**

LIU objects to this request as vague, ambiguous and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU12-102.

**Request No. 9**

**Please provide any and all documents relating to the decision to hire Plaintiff.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU133-386.

**Request No. 10**

**Please provide any and all performance evaluations completed regarding Plaintiff, over the course of his employment at the University.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU133-386.

**Request No. 11**

**Please provide any and all documents which refer to, or relate in any way to Plaintiffs leave of absence in 2015.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU133-430.

**Request No. 12**

**Please provide any and all documents which refer to, or relate in any way to the Sworn Affidavit that Plaintiff submitted in the Bavadekar matter.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, not reasonably calculated to lead to the discovery of admissible evidence and to the extent it seeks disclosure of information protected from disclosure under the attorney-client and/or attorney work produce privileges. Subject to and without waiving said objections, documents responsive to this request are produced as LIU435-441.

**Request No. 13**

**Please provide any and all grievances filed by Plaintiff against the University over the course of his employment at Defendant.**



**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU133-386.

**Request No. 14**

**Please provide any and all grievances filed by Plaintiffs Union on Plaintiffs behalf against the University over the course of his employment at Defendant.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU133-386.

**Request No. 15**

**Please provide any and all documents provided by the University to Plaintiff regarding his rights under the FMLA.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU133-430.

**Request No. 16**

**Please provide any and all documents which relate, in any way, to complaints made by students regarding Plaintiff over the course of his employment at the University.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. LIU further objects to this request to the extent it seeks information protected from disclosure pursuant to FERPA.

**Request No. 17**

**Please provide any and all documents which relate, in any way, to complaints made by University employees regarding Plaintiff over the course of his employment at the University.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU133-430.

**Request No. 18**

**Please provide any and all documents which relate, in any way, to any disciplinary action ever taken against Plaintiff, over the course of her employment at the Diocese.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU133-430.

**Request No. 19**

**Please provide all documents which relate in any way to the University's decision not to grant Plaintiff reappointment.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced as LIU133-430.

**Request No. 20**

**Please provide any and all documents reviewed or consulted by Stephen Gross prior to his decision to recommend against Plaintiffs reappointment.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced herein.

**Request No. 21**

**Please provide any and all documents reviewed or consulted by Rutesh Dave prior to his decision to recommend against Plaintiffs reappointment.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced herein.

**Request No. 22**

**Please provide the tenure applications of each faculty member in the University's College of Pharmacy and Health Science who was recommended for reappointment in 2015.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. LIU further objects to this request as Article VII of the applicable CBA prohibits disclosure of faculty members' personnel files.

**Request No. 23**

**Please provide the performance reviews of each faculty member in the University's College of Pharmacy and Health Science who was recommended for reappointment in 2015.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, irrelevant to any claims or defenses asserted and not reasonably calculated to lead to the discovery of admissible evidence. LIU further objects to this request as Article VII of the applicable CBA prohibits disclosure of faculty members' personnel files.

**Request No. 24**

**Please provide any and all statements and memos relating to witnesses, potential witnesses, or any other individual(s) contacted in connection with Plaintiffs allegations as set forth in the Complaint. As to any documents alleged to be protected by attorney-client privilege, provide a privilege log.**

**Response:**

LIU objects to this request as vague, ambiguous, overly broad, unduly burdensome, not reasonably calculated to lead to the discovery of admissible evidence and to the extent it seeks disclosure of information protected from disclosure under the attorney-client and/or attorney work produce privileges. Subject to and without waiving said objections, LIU will produce a privilege log concerning any privileged documents responsive to this request.

**Request No. 25**

**For each person whom you will or may call as an expert to give an opinion and testimony in the trial of this matter, please provide the information required by Fed. R. Civ. P. 26(a)(2)(B).**

**Response:**

LIU objects to this request as overly broad, unduly burdensome, not reasonably calculated to lead to the discovery of admissible evidence and premature. Subject to and without waiving said objections, LIU has not yet determined what expert witnesses, if any, they will call to testify should this action proceed to trial. LIU reserves the right to supplement and/or amend this response within the time and manner permitted by the Fed. R. Civ. P.

**Request No. 26**

**Please provide any and all documents identified in Defendants' Initial Disclosure pursuant to Rule 26(a)(1) of the Federal Rules of Civil Procedure in this matter that have not been previously provided.**

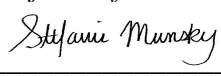
**Response:**

LIU objects to this request as overly broad, unduly burdensome and not reasonably calculated to lead to the discovery of admissible evidence. Subject to and without waiving said objections, documents responsive to this request are produced herein as LIU1 – 441.

Dated: New York, New York  
January 26, 2018

Respectfully Submitted,

CLIFTON BUDD & DeMARIA, LLP  
*Counsel for Defendant*

By: 

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# **EXHIBIT J**

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**From:** Sarsvatkumar Patel <[Sarsvatkumar.Patel@liu.edu](mailto:Sarsvatkumar.Patel@liu.edu)>  
**Date:** Wednesday, March 4, 2015 at 1:13 PM  
**To:** Stephen Gross <[Stephen.Gross@liu.edu](mailto:Stephen.Gross@liu.edu)>  
**Cc:** LIU IT <[rutesh.dave@liu.edu](mailto:rutesh.dave@liu.edu)>  
**Subject:** End of FMLA Leave

Dear Dean Gross,  
Good Afternoon!

I have resumed my duties from this month and also indicated to HR office.  
I also tried my best to come on campus during leave period to support and guide my M.S. and Ph.D. students.  
I also participated in other student and college related activities.  
Thank you for your support.

Sincerely,  
Sarsvat

Sarsvat Patel, B Pharm, M Pharm, Ph.D.

Assistant Professor  
Arnold and Marie Schwartz College of Pharmacy and Health Sciences  
75 Dekalb Avenue, HS Bldg. 612  
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Phone: 718-780-4547 Email: [Sarsvatkumar.Patel@liu.edu](mailto:Sarsvatkumar.Patel@liu.edu)  
<http://www.linkedin.com/in/sarsvatpatel>  
<http://scholar.google.com/citations?user=ot1rZGgAAAAJ&hl=en>

# **EXHIBIT K**

**LIU Pharmacy  
(ARNOLD & MARIE SCHWARTZ COLLEGE OF PHARMACY AND HEALTH SCIENCES)**

**Minutes of the Executive Committee Meeting  
Dean's Conference Room – L112**

**Thursday, February 5, 2015**

**In attendance:** K Benzeroual, M. Brown, H. Cohen, R. Dave, S. Gross, H. Kirschenbaum, A. Nogid, L. Schumacher, J. Shtaynberg

**Not in attendance:** M. Erickson (excused)

**Invited guests:** T. Zerilli

**Student Leadership Development**

After reading the *Deliberate Integration* white paper, T. Zerilli raised the important issue of the College's need to formulate a student leadership development plan driven by Domain 4 of our new educational outcomes, CAPE 2013 and the new ACPE Standards and Guidance 2016. M. Brown raised similar thoughts in the past and pressed further by advocating the adoption of a model of leadership development. A number of leadership development models are available, however, M Brown recommended the Social Change Model of Leadership Development for adoption. It was suggested that leadership skills begin with the new curriculum from the point of admission and continues to build until commencement.

The discussion broadened to include recognition that many outcomes in Domains 3 and 4 will require not only the formal curriculum, but also co-curricular activities and individual student mentoring programs to be achieved. Also reiterated at the meeting, is the College's need for a Co-Curriculum Committee to function similarly to the Curriculum Committee, but one that helps define, refine, monitor and assess our co-curriculum.

For this to be successful, a clear progression plan is needed beginning with the Pre-Pharmacy (P1-P2 years) through the Pharm.D. Program (P3 - P6 years). A Co-Curriculum Committee would involve individuals responsible for student advising, professional co-curricular activities, service learning, student government, assessment, curriculum, student portfolios, preceptors, employers and other interested faculty members to create a fluid, circular flow of learning through the pre-professional and professional phases and similar to that of President Cline's LIU Promise.

The Dean asked M. Brown, H. Kirschenbaum and T. Zerilli to write a charge for a new Co-Curriculum Committee in an effort to begin integrating all of these ideas and groupings with the start of the new curriculum.

**Other Topics Discussed**

- Admissions interview questionnaires are currently under review. To date, seventy students have been admitted to the College under the new admissions process.
- The Scholastic Committee is looking at the new standards.
- Student Activities is working together with the Career Services Office to collect feedback and attendance records at College-run events.
- A. Nogid raised concerns about the current P4 class and its low student evaluation completion rate. Meaningful assessments cannot be made with less than 15% of the evaluations. L. Cicero oversaw the evaluation process during her tenure as Assistant Dean. It is understood that half of the class is selected to complete the professor evaluations. During the last two consecutive semesters, however, the returns have been less than 15%. It is unclear where the gap resides in this (i.e. which recitation classes assigned to evaluate faculty, the instructions, computer systems, etc.). Regardless, it needs to be corrected to work properly.



- The Office of Experiential Education (OEE) moved forward with Rx Preceptor and is awaiting a signed contract. Introduction of Rx Preceptor to the P5 class is set for May 2015. The hope is to use the money saved for other OEE-related activities.
- Two P6 students received a fellowship each with Johnson & Johnson and with the Federal Drug Administration (FDA).
- A Commencement meeting is planned for later today with the Dean, M. Brown. K Benzeroual and L. Schumacher.
- The Faculty Council met on Monday, February 2, 2015 and H. Cohen reported that the faculty members are not pleased about the extra summer teaching responsibilities. A plan is in order for faculty to write a letter requesting more resources. While the faculty is pleased about the new on-site immunization certificate offering, the members feel it may be inappropriate to charge students a fee for the certificates.
- The contracts for GAs are complete and signed. Despite losing a few credits, there are no anticipated problems for this year. In 2015-2016, however, problems may arise relating to the decreasing credits available to award.
- D. Taft together with the Division and the College has created four one-year internship opportunities in cancer development for doctoral graduate students with Takeda Pharmaceuticals, a leading pharmaceutical company. The internships, paid through LIU, will allow students to gain real-life experience while conducting research at the College.
- Concern regarding Faculty Family Leave and its effect on students was raised.
- A retirement party invite for N. Patel, currently on terminal sabbatical, will be sent out in April.
- Six Ph.D. candidates are expected to graduate and most have secured a job already. The FDA has 200 vacancies and the College currently has four or five graduates there now.
- The laboratory equipment acquired by the College from a California-based company that recently dissolved is not great, but is considered good for student use. Purchase orders are completed and delivery is anticipated in two weeks time. The College hopes to have the Lachman Lab FDA-approved by next year.
- Revision of the Cosmetic Science curriculum is expected by Summer 2015 and the aim is to move forward with the NYS Board of Education. This effort is due in large part to the students desire to include an entrepreneurial approach to the field of Cosmetic Science. The College plans to collaborate with the LIU Business School and offer some business classes taught in Cosmetic Science.
- Two faculty positions are approved for Drug Regulatory Affairs and Pharmacology and Toxicology. The Lachman Lab position is still open for a non-teaching University Professor whose workload will be governed by the President and University. A job description is needed as someone has already expressed interest in the position.
- A meeting regarding ExamSoft will be held later today between the Dean and L. Cicero.
- Requests for name changes:
  - Professional Development Hour from the Dean's Hour
  - Pharmaceutical Care Lab to the Integrated Care Lab
- Requested resources for Care Lab:
  - Only four computers are fully functional and more stations are need for students use
  - More user-friendly software needed
  - Electronic health records (purchasable, no need to create these)
  - The Dean asked for an itemized list with associated costs for all items needed/requested.
- The formation of a Technology Committee was suggested. Many colleges have one while the College does not. A Committee is needed to help identify programs that could help span and map the curriculum, track and adhere to ACPE guidelines, work with ExamSoft, track pre-APPE competency performances, etc. A Technology Committee would help relieve the *silo* concept (that each Committee has their own separate data processing and holding system). A Committee could merge all information gathered and make it more transferable, accessible and usable. Posting of lectures online could be possible provided that technology and licenses are procured. If possible, the Committee could help to alleviate pressures and schedule constraints caused by snow days, other school closures or events.
- An exception may be given to the College regarding offering iPads to incoming Pharmacy students. The Dean is awaiting word from G. Baroudi from the IT Department.

The meeting began at 10:06 AM and adjourned at 11:35 AM.

Respectfully submitted,  
Nina Chan Jalowayski

# **EXHIBIT L**

**Sarsvatkumar Patel**  
**Name of Candidate**

**Division Director**

Please provide in narrative form your analysis of this candidate's performance in each of the following categories as your guide. Use additional space if necessary.

**TEACHING:** Dr. Patel started teaching in both the professional and graduate programs since fall 2012. He has taught several electives in graduate program, one elective in the professional program and medicinal chemistry component within the pharmacology/medicinal chemistry II and III courses (Core course). His graduate course evaluations are satisfactory with some minor comments and small number of respondents. Dr. Patel has taught medicinal chemistry component since Fall 2012. He is currently a 3<sup>rd</sup> year probationary faculty and has taught the medicinal aspect (in PH 230 and PH 232) six times including many recitation sections. It seems that the student comments are consistent and same. Dr. Patel has never refused to teach medicinal chemistry component even though it is not his "forte", neither has he discussed the issue with division director. Past fall, due to unavailability of faculty, we had an adjunct professor teaching the pharmacology section in our professional program in which Dr. Patel was made a course coordinator, as he is well aware of the college's function as compared to a new adjunct faculty. Dr. Patel did not guide the students appropriately during this class and I had to step in to resolve the issue. I would expect Dr. Patel to address the class issue as a coordinator rather than diverting them. This is also mentioned in one of the student evaluation. In the email, students were concerned about reporting this issue to ACPE, the issue was resolved with my intervention. Because this was an issue for the first time while Dr. Patel was a coordinator, he asked the students about teaching experience about Med. Chem portion, which to me is appropriate, I am just not sure why this kind of input was not asked previously since Fall 2012. As a course coordinator, he should have enough altruism to ask about the whole pharmacology course experience rather than the medicinal chemistry portion, which he was teaching since the time he joined the college. I would like Dr. Patel to be more upfront and discuss this issue rather than continuously telling students that Med. Chem is not his major. From what I know is that he was asked whether he would be willing to teach Med. Chem in our professional program before joining the college. If teaching medicinal chemistry is a continuous issue, I think it would be appropriate to sit and talk this with division director and be more upfront and transparent about teaching medicinal chemistry component.

LIU000776

In one instance, I found Dr. Patel was not in the laboratory (PHS 769L transdermal drug delivery) where students conduct experiments using various equipment's and solvents. I noticed Dr. Patel being not in the laboratory and informed him about the same. I believe it is absolutely important that a faculty member be present during the class or laboratory hours with the students so just in-case anything goes wrong they can fix it rather than not being in the lab at all and having TA's do the work. He came to my office and I explained the same. This to me clearly explains that he likes to delegate teaching responsibilities rather than dealing with them.

His one peer reviewed evaluation (By Dr. Stagni) is good but not complete, he needs to be periodically reviewed by different peers.

#### **SCHOLARSHIP:**

Before joining LIU, Dr. Patel has published in peer-reviewed journals, holds joint patents and several conference presentations. He is currently reviewer of various peer-reviewed journals and conferences. He is on the editorial board of Journal of developing drugs. Dr. Patel was provided with fully equipped lab to start generating data and publish extensively. So far he has presented 10 posters at AAPS annual meeting, helped in writing one manuscript. Dr. Patel has also submitted 4 research articles in peer-reviewed journals (Note: None of the articles have been published todate). So far Dr. Patel has graduated 8 M.S. students and is currently guiding 4 Ph.D. and 6 M.S. students. Dr. Patel is advised to convert those theses into actual papers and continue pursuing research and scholarly activities. Dr. Patel applied for AACP grant which was not approved, Dr. Patel also had contract with Globepharm developing Quality-by-Design (QBD) approach towards better content uniformity however the equipment is no longer in the laboratory. Dr. Patel also unsuccessfully applied for TLI grant. Despite failures, Dr. Patel is advised to continue his scholarly pursuit and continue to apply for grants and contracts.

#### **SERVICE:**

Dr. Patel is currently a member of Faculty Review Committee, student portfolios committee research committee and committee on committees. In past, he also served on curricular assessment committee and ExamSoft taskforce committee. He is faculty advisor for AAPS-LIU student chapter. Dr. Patel also served as committee member to many of our M.S. and Ph.D. students within the division. Dr. Patel also serves in steering committee member for generic pharmaceutical focus group at AAPS. Dr. Patel is advised to take more leadership role within the college and look for opportunities within campus and university level services.

On November 24, 2014, Dr. Patel asked for a leave, which seemed appropriate and necessary, on November 25<sup>th</sup> Dean and myself asked him to be more specific about the dates and duration as the semester was going to start in January 2015. The next response we received was on January 13<sup>th</sup> about the leave, at which point it was still not clear when would he be submitting the papers, for how long he intends to be away on leave? I had a meeting with Dr. Patel, Dean Gross and Brown few days before the college was about to start, at this point there were two graduate courses opened under his name, two laboratory sections and medicinal chemistry component in our professional program after adjustment of workload, he never communicated about his return date well in advance and this resulted in cancelling graduate classes, however those classes could have been modified for the benefit of the students only if Dr. Patel would have discussed and planned it appropriately. (During the leave (from February 2<sup>nd</sup>, 2015 which I am assuming that he submitted the paperwork and got approved) he served in various committees and attended to his research student's interest and in similar way he could have helped teaching our students by modifying the schedule. Dr. Patel on March 1<sup>st</sup> 2015 at 10.07 pm notified HR that he would like to resume his duties with immediate effect. I would expect a faculty member to atleast give few days advanced notice as a courtesy to redo the workload. Dr. Patel was given his modified workload on March 6<sup>th</sup>, 2015.

Add  
in.

Previously in an email dated April 25, 2014 to Dean Gross and copied to me I quote "I assume that a memo is reason as it shows a negative point in my file. I stated that I went to take care of my ailing mother. Family and Medical Leave Act ("FMLA") does allow the worker to discharge their family obligations. I was involved in all the academic activities during my India visit in spite of hostile family condition". It is important to note that Dr. Patel, to the best of my knowledge, did not take FMLA leave at that time and returned late to work after the semester started.

Dr. Patel is advised to be more diligent and plan carefully his leave of absence as to not interrupt students learning and more importantly his own contractual workload.

**RECOMMENDATION: Reappointment for one year. Dr. Patel is advised to communicate better about his leave, be more transparent about medicinal chemistry teaching assignment, take more responsibility coordinating the course and improve professional program teaching evaluation comments.**

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Signature

Date

Rutesh H. Dave, Ph.D.

LIU000778

# **EXHIBIT M**



**Sarsvatkumar Patel**  
**Name of Candidate**

**Division Director**

Please provide in narrative form your analysis of this candidate's performance in each of the following categories as your guide. Use additional space if necessary.

**TEACHING:** Dr. Patel started teaching in both the professional and graduate programs since fall 2012. He has taught several electives in graduate program, one elective in the professional program and medicinal chemistry component within the pharmacology/medicinal chemistry II and III courses (Core course). His graduate course evaluations are satisfactory with some minor comments and small number of respondents. Dr. Patel has taught medicinal chemistry component since Fall 2012. He is currently a 3<sup>rd</sup> year probationary faculty and has taught the medicinal aspect (in PH 230 and PH 232) six times including many recitation sections. It seems that the student comments are consistent and same. Dr. Patel has never refused to teach medicinal chemistry component even though he tells students it is not his "forte", neither he has discussed the issue with division director. This past fall, due to unavailability of faculty, we had an adjunct professor teaching the pharmacology section.

Dr. Patel was made a course coordinator as he is well aware of the college's function as compared to a new adjunct faculty. Dr. Patel did not guide the students appropriately during this class and I had to step in to resolve the issue. I would expect Dr. Patel to address the class issue as a coordinator rather than diverting them. This is also mentioned in one of the student reviews. Because this was an issue for the first time while Dr. Patel was a coordinator, he asked the students about teaching experience about Med. Chem portion, which to me is appropriate. I would like Dr. Patel to be more upfront and discuss this issue rather than continuously telling students that Med. Chem is not his major. It is my understanding that Dr. Patel responded positively when asked whether he would be willing to teach Med. Chem in our professional program before joining the college.

At one point, I found Dr. Patel was not in the lab and this is PHS 769L (transdermal drug delivery) laboratory where students conduct experiments using various equipment and solvents. I noticed Dr. Patel being not in the laboratory and informed him about the same. It is absolutely important that a faculty member be present during the class or laboratory hours with the students. He came to my office and I explained the same.

His one peer reviewed evaluation (By Dr. Stagni) is good but not complete, he needs to be periodically reviewed by different peers.

LIU000780



**SCHOLARSHIP:**

Before joining LIU, Dr. Patel published in peer-reviewed journals, holds joint patents and several conference presentations. He is currently a reviewer for various peer-reviewed journals and conferences. He is on the editorial board of Journal of Drug Development. Dr. Patel was provided with a fully equipped lab to start generating data and publish extensively. So far he has presented 10 posters at AAPS annual meeting, helped in writing one manuscript. Dr. Patel has also submitted 4 research articles in peer-reviewed journals (Note: None of the articles have been published to date). So far Dr. Patel has graduated 8 M.S. students and is currently guiding 4 Ph.D. and 6 M.S. students. Dr. Patel is advised to convert those theses into actual papers and continue pursuing research and scholarly activities. Dr. Patel applied for an AACP grant which was not approved, Dr. Patel also had contract with Globepharm developing Quality-by-Design (QBD) approach towards better content uniformity however the equipment is no longer in the laboratory. Dr. Patel also unsuccessfully applied for TLI grant. Despite failures, Dr. Patel is advised to continue his scholarly pursuit and continue to apply for grants and contracts.

**SERVICE:**

Dr. Patel is currently a member of Faculty Review Committee, Student Portfolios Committee, Research Committee, and Committee on Committees. In past, he also served on Curricular Assessment Committee and ExamSoft Taskforce Committee. He is faculty advisor for AAPS-LIU student chapter. Dr. Patel also served as committee member to many of our M.S. and Ph.D. students within the division. Dr. Patel also serves in steering committee member for generic pharmaceutical focus group at AAPS. Dr. Patel is advised to take more leadership role within the college and look for opportunities within campus and university level services.

On November 24, 2014, Dr. Patel asked for FMLA leave, which seems appropriate. On November 25<sup>th</sup>, the Dean and myself asked him to be more specific about the dates and duration as the semester was going to start in January 2015. The next response we received was on January 13<sup>th</sup> about the leave, which still is not clear when exactly, would he be submitting the papers, and if he gets approved, for how long? I had a meeting with Dr. Patel, Dean Gross and Brown and that were only a few days remaining for the college to start the new semester. At this point there were two graduate courses opened under his name, two laboratory sections and the medicinal chemistry component in our professional program. After adjustment of workload, he never communicated about his return date well in advance and this resulted in cancelling graduate classes. Those classes could have been modified for the benefit of the students only if Dr. Patel would have discussed it appropriately. During FMLA leave he served in various committees, attend to his research student's interest and in similar way he could have helped teaching our graduate class by modifying the schedule.

Previously in an email dated April 25, 2014 to Dean Gross and copied to me I quote "I assume that a memo is reason as it shows a negative point in my file. I stated that I went to take care of my ailing mother. Family and Medical Leave Act ("FMLA") does allow

the worker to discharge their family obligations. I was involved in all the academic activities during my India visit in spite of hostile family condition". It is important to note that Dr. Patel, to the best of my knowledge, did not take FMLA leave at that time and returning late to work after the semester started.

Dr. Patel is advised to be more diligent taking leave of absences and schedule his personal leave more carefully as to not interrupt students learning and more importantly his own contractual workload.

#### **RECOMMENDATION:**

I am recommending non-reappointment for the following reasons. First, even with a non-reappointment recommendation, Dr. Patel has another year of appointment and he will be reevaluated next year. His teaching evaluations and reviews are modestly good but far from excellent. His scholarship prior, to joining the college was good and although he has been active in supervising graduate students none of his scholarly pursuits have led to a publication or the securing of grants which he has attempted.

His service on committees is acceptable, but he has not shown any leadership. A major concern was the approach he took of securing the FMLA. He failed to provide proper notice to the dean and division director as to the dates of his absence.

This review, therefore serves to provide Professor Patel that he is on notice for non-renewal next year.

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Signature

Date

Rutesh H. Dave, Ph.D.  
Director, Division of Pharmaceutical Sciences

LIU000782

# **EXHIBIT N**

**Sarsvatkumar Patel**  
**Name of Candidate**

**Division Director**

Please provide in narrative form your analysis of this candidate's performance in each of the following categories as your guide. Use additional space if necessary.

**TEACHING:** Dr. Patel started teaching in both the professional and graduate programs since fall 2012. He has taught several electives in graduate program, one elective in the professional program and medicinal chemistry component within the pharmacology/medicinal chemistry II and III courses (Core course). His graduate course evaluations are satisfactory with some minor comments and small number of respondents. Dr. Patel has taught medicinal chemistry component since Fall 2012. He is currently a 3<sup>rd</sup> year probationary faculty and has taught the medicinal aspect (in PH 230 and PH 232) six times including many recitation sections. It seems that the student comments are consistent and same. Dr. Patel has never refused to teach medicinal chemistry component even though it is not his "forte", neither he has discussed the issue with division director. Past fall, due to unavailability of faculty, we had an adjunct professor teaching the pharmacology section.

Dr. Patel was made a course coordinator as he is well aware of the college's function as compared to a new adjunct faculty. Dr. Patel did not guide the students appropriately during this class and I had to step in to resolve the issue. I would expect Dr. Patel to address the class issue as a coordinator rather than diverting them. This is also mentioned in one of the student reviews. In the email, students were concerned about reporting this issue to ACPE, the issue was resolved with my intervention. Because this was an issue for the first time while Dr. Patel was a coordinator, he asked the students about teaching experience about Med. Chem portion, which to me is appropriate, I am just not sure why this kind of input was not asked previously since Fall 2012. As a course coordinator, he should have enough altruism to ask about the whole course experience. I would like Dr. Patel to be more upfront and discuss this issue rather than continuously telling students that Med. Chem is not his major. From what I know is that he was asked whether he would be willing to teach Med. Chem in our professional program before joining the college. If this is a continuous issue, I think it would be appropriate to sit and talk this with appropriate authority and be more upfront and transparent about teaching Med. Chem.

LIU000783

Dr. Patel is constantly trying to protect his actions, rather than having fruitful discussions and resolving issues. I found Dr. Patel was not in the lab and this is PHS 769L (transdermal drug delivery) laboratory where students conduct experiments using various equipment's and solvents. I noticed Dr. Patel being not in the laboratory and informed him about the same. My point was that it is absolutely important that a faculty member be present during the class or laboratory hours with the students so just in-case anything goes wrong they can fix it rather than not being in the lab at all and having TA's do the work. He came to my office and I explained the same. This to me clearly explains that he likes to delegate teaching responsibilities rather than dealing with them.

His one peer reviewed evaluation (By Dr. Stagni) is good but not complete, he needs to be periodically reviewed by different peers.

### **SCHOLARSHIP:**

Before joining LIU, Dr. Patel has published in peer-reviewed journals, holds joint patents and several conference presentations. He is currently reviewer of various peer-reviewed journals and conferences. He is on the editorial board of Journal of developing drugs. Dr. Patel was provided with fully equipped lab to start generating data and publish extensively. So far he has presented 10 posters at AAPS annual meeting, helped in writing one manuscript. Dr. Patel has also submitted 4 research articles in peer-reviewed journals (Note: None of the articles have been published to date). So far Dr. Patel has graduated 8 M.S. students and is currently guiding 4 Ph.D. and 6 M.S. students. Dr. Patel is advised to convert those theses into actual papers and continue pursuing research and scholarly activities. Dr. Patel applied for AACP grant which was not approved, Dr. Patel also had contract with Globepharm developing Quality-by-Design (QBD) approach towards better content uniformity however the equipment is no longer in the laboratory. Dr. Patel also unsuccessfully applied for TLI grant. Despite failures, Dr. Patel is advised to continue his scholarly pursuit and continue to apply for grants and contracts.

### **SERVICE:**

Dr. Patel is currently a member of Faculty Review Committee, student portfolios committee research committee and committee on committees. In past, he also served on curricular assessment committee and ExamSoft taskforce committee. He is faculty advisor for AAPS-LIU student chapter. Dr. Patel also served as committee member to many of our M.S. and Ph.D. students within the division. Dr. Patel also serves in steering committee member for generic pharmaceutical focus group at AAPS. Dr. Patel is advised to take more leadership role within the college and look for opportunities within campus and university level services.

On November 24, 2014, Dr. Patel asked for FMLA leave, which seems appropriate, on November 25<sup>th</sup> Dean and myself asked him to be more specific about the dates and duration as the semester was going to start in January 2015. The next response we received was on January 13<sup>th</sup> about the leave, which still is not clear when exactly, would he be submitting the papers shortly and if he gets approved, for how long? I had a



meeting with Dr. Patel, Dean Gross and Brown and that was almost around few days remaining for the college to start, at this point there were two graduate courses opened under his name, two laboratory sections and medicinal chemistry component in our professional program after adjustment of workload, he never communicated about his return date well in advance and this resulted in cancelling graduate classes, however those classes could have been modified for the benefit of the students only if Dr. Patel would have discussed it appropriately. During FMLA leave he served in various committees, attend to his research student's interest and in similar way he could have helped teaching our graduate class by modifying the schedule.

Previously in an email dated April 25, 2014 to Dean Gross and copied to me I quote " I assume that a memo is reason as it shows a negative point in my file. I stated that I went to take care of my ailing mother. Family and Medical Leave Act ("FMLA") does allow the worker to discharge their family obligations. I was involved in all the academic activities during my India visit in spite of hostile family condition". It is important to note that Dr. Patel, to the best of my knowledge, did not take FMLA leave at that time and returning late to work after the semester started.

Dr. Patel is advised to be more diligent taking leave of absences and schedule his personal leave more carefully as to not interrupt students learning and more importantly his own contractual workload.

**RECOMMENDATION: It is my academic judgment that Dr. Patel NOT be reappointed.**

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Signature

Date

Rutesh H. Dave, Ph.D.  
Director, Division of Pharmaceutical Sciences

LIU000785

# **EXHIBIT O**

Sarsvatkumar Patel  
Name of Candidate

**Division Director**

Please provide in narrative form your analysis of this candidate's performance in each of the following categories as your guide. Use additional space if necessary.

**TEACHING:** Dr. Patel started teaching in both the professional and graduate programs in fall 2012. He has taught several electives in the graduate program, one elective in the professional program and the medicinal chemistry component within the pharmacology/medicinal chemistry II and III courses (Core course). His graduate course evaluations are satisfactory with some minor comments and small number of respondents. Dr. Patel has taught medicinal chemistry component since Fall 2012. He is currently a 3<sup>rd</sup> year probationary faculty and has taught the medicinal aspect (in PH 230 and PH 232) six times including many recitation sections. It seems that the student comments are consistent and same. Dr. Patel has never refused to teach medicinal chemistry component even though it is not his "forte", neither has he discussed the issue with division director. Past fall, due to unavailability of faculty, we had an adjunct professor teaching the pharmacology section in our professional program in which Dr. Patel was made a course coordinator. As Dr. Patel did not guide the students appropriately during this class and I had to step in to resolve the issue. I would expect Dr. Patel to address the class issue as a coordinator rather than diverting them. Because this was an issue for the first time while Dr. Patel was a coordinator, he asked the students about teaching experience in the Med. Chem portion, which to me is appropriate, I am just not sure why this kind of input was not asked previously since Fall 2012. I would like Dr. Patel to be more upfront and discuss this issue rather than continuously telling students that Med. Chem is not his major. It is my understanding that Dr. Patel responded positively when asked whether he would be willing to teach Med. Chem in our professional program before joining the college.

At one point, I found that Dr. Patel was not in his assigned laboratory ( PHS 769L Transdermal Drug Delivery) where students conduct experiments using various instruments and solvents. He is responsible for this supervision particularly where there are elements of danger. He came to my office and I explained the same.

His one peer- reviewed evaluation (Dr. Stagni) was judged good, but it is missing certain elements and it is difficult to make judgments about the quality of the work.

On November 24, 2014, Dr. Patel asked for a leave which was appropriate. On November 25, 2014 the Dean and I asked him to be more specific about the dates and

LIU000905



duration as the next semester was to start in January, 2015. He was never clear about the dates he wanted for his leave and never put this in writing. This resulted in cancelling graduate classes since he did not provide adequate notice.

#### **SCHOLARSHIP:**

Before joining LIU, Dr. Patel has published in peer-reviewed journals, holds joint patents and several conference presentations. He is currently reviewer of various peer-reviewed journals and conferences. He is on the editorial board of Journal of developing drugs. Dr. Patel was provided with fully equipped lab to start generating data and publish extensively. So far he has presented 10 posters at AAPS annual meeting, helped in writing one manuscript. Dr. Patel has also submitted 4 research articles in peer-reviewed journals (Note: None of the articles have been published to date). So far Dr. Patel has graduated 8 M.S. students and is currently guiding 4 Ph.D. and 6 M.S. students. Dr. Patel is advised to convert those theses into actual papers and continue pursuing research and scholarly activities. Dr. Patel applied for AACP grant which was not approved, Dr. Patel also had contract with GlobePharma developing Quality-by-Design (QBD) approach towards better content uniformity however the equipment is no longer in the laboratory. Dr. Patel also unsuccessfully applied for TLI grant. Despite failures, Dr. Patel is advised to continue his scholarly pursuit and continue to apply for grants and contracts.

#### **SERVICE:**

Dr. Patel is currently a member of Faculty Review Committee, student portfolios committee, research committee and committee on committees. In past, he also served on curricular assessment committee and ExamSoft taskforce committee. He is faculty advisor for AAPS-LIU student chapter. Dr. Patel also served as committee member to many of our M.S. and Ph.D. students within the division. Dr. Patel also serves in steering committee member for generic pharmaceutical focus group at AAPS. Dr. Patel is advised to take more leadership role within the college and look for opportunities within campus and university level services.

Dr. Patel is advised to be more diligent and plan carefully his leave of absence as to not interrupt students learning and more importantly his own contractual workload.

**RECOMMENDATION: I am recommending non-reappointment for the following reasons. First, even with a non-reappointment recommendation, Dr. Patel has another year of appointment and he will be reevaluated next year. His teaching evaluations and reviews are modestly good but far from excellent. His scholarship, prior to joining the college was good and although he has been active in supervising graduate students none of his scholarly pursuits have lead to a publication or securing of grants, which he has attempted.**

**His service on committees is acceptable. A major concern was the approach he took of securing his leave. He failed to provide proper notice to the dean and division director as to the dates of his absence.**

**This review, therefore serves to provide Dr. Patel that he is on notice for non-renewal next year.**

**His reappointment is highly problematic, and to expect substantial progress is not unreasonable.**

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Signature

Date

Rutesh H. Dave, Ph.D.  
Director, Division of Pharmaceutical Sciences

Draft 5/6/15

LIU000907

## **EXHIBIT P**

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**From:** Stephen Gross <[Stephen.Gross@liu.edu](mailto:Stephen.Gross@liu.edu)>  
**Date:** Saturday, May 2, 2015 at 11:56 AM  
**To:** LIU IT <[rutesh.dave@liu.edu](mailto:rutesh.dave@liu.edu)>  
**Subject:** S. Patel

Rutrsh,

I received a call from Jeff Kane and Matt Siebert Friday afternoon. [REDACTED]

[REDACTED] Have a good weekend. See you Monday.

Steve

# **EXHIBIT Q**

**THIS EXHIBIT IS SUBJECT TO THE COURT'S  
FEBRUARY 20, 2018 CONFIDENTIALITY ORDER AND  
FILED UNDER SEAL. A COMPLETE COPY OF THE  
EXHIBIT HAS BEEN PROVIDED TO THE COURT.**

# **EXHIBIT R**

[illegible]



<b>Fall 2014</b>			
PH230 - Pharmacology/Med Chemistry II	3.2		
	3.3		
	3.3		
	3.4		
	3.3		
	3.4		
	3.2		
	3.2		
	3.4		
	3.4		
	3.5		
	3.4		
	3.3		
	<b>3.33076923</b>		
PH466 -Theory & Design Control Release	3.4		
	3.5		
	3.1		
	3.3		
	3.4		
	3.5		
	3.1		
	3.4		
	3.5		
	3.4		
	3.5		
	3.5		
	3.1		
	<b>3.36153846</b>		
PHS936 - Dosage Form Design	3.9		
	3.9		
	3.8		
	3.6		
	3.6		
	3.8		
	3.5		
	3.6		
	4		
	3.8		
	3.8		
	3.8		
	3.8		
	<b>3.76153846</b>		
<b>FALL 2014 AVG</b>	<b>3.48461538</b>		
<b>TOTAL 2014 AVG</b>	<b>3.40897436</b>		

# **EXHIBIT S**

March 09, 2015

Rutesh Dave, Ph.D.                      Division Director, Division of Pharmaceutical Sciences  
Faculty Review Committee  
Stephen M. Gross, Ed.D.              Dean

**Subject: Reappointment of the full-time faculty**

I have joined the Division of Pharmaceutical Sciences as an Assistant Professor since September 2012. I have been given an assignment to teach Medicinal Chemistry II and III (PH 230 and PH 232) due to the unavailability of faculty member at the college. I welcomed this as an opportunity to learn the subject myself, as this is not my forte. The assignment needed to cover and learn topics of Medicinal Chemistry as well as Pharmacology, for which I sincerely appreciate collegial support of Dr. Benzeroual, Dr. Ratna, and Dr. Shah (Adjunct Professor) for helping me to learn the subject. I enjoyed teaching Med. Chem. and it also helped us in designing the projects at the graduate level research.

Soon after joining the LIU, I was given the responsibility to guide graduate students due to the retirement of Dr. Plakogiannis. Dr. Plakogiannis research focus has been on the Transdermal formulations. I have also graduated few of his students, which gave me an opportunity to learn the new research areas of the Transdermal research. We have continued working on the Transdermal areas in order to best utilize the available resources as well as to maintain the continuity of graduate students' research. I sincerely appreciate the support of Dr. Bellantone for helping me to learn new areas as well as the data analysis. Subsequently, I taught PHS 769 (Transdermal course and lab); which further complimented the learning of the new subject areas. I have continued working in my specialization and also designed a new graduate course.

I have been teaching at the professional and graduate level and also actively involved in various committees and college level activities. So far I have graduated 8 M.S. students and currently, guiding 4 Ph.D. and 6 M.S. students. In addition, I have always been generous with my time just because someone asked for my help.

I appreciate the collegial support of many faculty members. More importantly, I thank my students who created many learning opportunities for me. The efforts of graduate students are appreciated as they always remain committed to execute my research ideas and plans.

Enclosed please find the application material for my reappointment. I have also included multiple copies of personal summary form, evidences of scholarship activities like manuscripts (under revision, submitted and under preparation) and other activities related to the development of the lab.

Thank you in advance for your consideration.

Sincerely,

Sarsvat Patel, Ph.D.  
Assistant Professor



Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

## **II. Professional Experience**

### **(A) At Long Island University**

i. Date of initial appointment:

09-01-2012

ii. Initial appointment rank:

Assistant Professor

iii. Campus/College or School/Department:

Arnold and Marie Schwartz College of Pharmacy and Health Sciences

iv. Years toward tenure at time of application (including years toward tenure at time of appointment):

Third year

v. Present Rank:

Assistant Professor

vi. Promotions: Not Applicable

Rank:

Date appointed:

Rank:

Date appointed:

Rank:

Date appointed:

vii. Date tenure granted: N/A

### **(B) At other institutions**

Teaching and Non-Teaching (List in chronological order)

<b><u>Date</u></b>	<b><u>Title</u></b>	<b><u>Institution</u></b>	<b><u>Brief Description of Responsibility</u></b>
04/2010 to 08/2012	Postdoctoral Associate	University of Minnesota	1. Research projects in the field of - solid state characterization, formulation development and solids processing. 2. Industry-sponsored research project - Development of a material-sparing technology platform to aid scalable tablet formulation of amorphous solid dispersions <u>and</u> Predictions of powder sticking tendency by measurement of powder cohesion using ring shear cell. 3. Department research projects – (i) Water sorption behavior of excipients and effects on solid state properties (ii) Mechanical property evaluation using powder compaction, micro and nano-indentation.
07/2006 to	Senior	National Institute of	1. Formulation development of spray-dried amorphous solid dispersion. 2. Bioavailability enhancement of a



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04/2010	Research Fellow	Pharmaceutical Education & Research (NIPER), India	model BCS class IV drug. 3. Optimization of dry granulation, wet granulation and direct compaction and mechanisms for reduced tabletability. 4. Contract research for several pharmaceutical companies.
07/2004 to 06/2006	Junior Research Fellow	National Institute of Pharmaceutical Education & Research (NIPER), India	1. Compaction studies on high dose poorly compressible drugs.

### III. Degrees and Honors

<u>Date</u>	<u>Degree/Honor</u>	<u>Institution</u>	<u>Discipline and/or Specialization</u>
07/2006 to 04/2010	Ph. D	National Institute of Pharmaceutical Education & Research (NIPER), India	Pharmaceutics
07/2004 to 06/2006	M. Pharm.	National Institute of Pharmaceutical Education & Research (NIPER), India	Pharmaceutical Technology (Formulations)
11/2000 to 05/2004	B. Pharm.	Shri BM Shah College of Pharmacy, North Gujarat University, India.	Undergraduate program with theoretical/practical courses in Pharmaceutics, Pharmacology/Toxicology, Medicinal Chemistry, Pharmaceutical Analysis, Pharmacognosy, Clinical pharmacy

If you do not have a terminal degree, please indicate: Not Applicable (NA)

(A) Number of credits towards terminal degree as well as years in which, and university at which, obtained:

(B) Progress on the dissertation/Expected date of completion (*if applicable, please attach documentation of dissertation status*):

Additional Specialized Training, Certification, or Professional Recognition:  
(List dates and institutions)

<u>Date</u>	<u>Specialized Training</u>	<u>Institution</u>
04/2010 to 08/2012	Postdoctoral Associate at the Dept. of Pharmaceutics	University of Minnesota

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#### IV. Areas of Specialty

(A) Courses taught at Long Island University within the past five (5) years of date of this report.  
Please include a semester-by-semester list, indicate undergraduate or graduate, course # and title.  
(Faculty at Post: Please submit to personnel file and refer to docket # in this application)

<b><u>All the teaching requirements for the following courses were fulfilled during Fall 2013, Spring 2014, and Fall 2014</u></b>			
<b><u>Semester</u></b>	<b><u>Entry-level or Graduate Program</u></b>	<b><u>Course No.</u></b>	<b><u>Title</u></b>
Fall 2013	Graduate	PHS 769 PHS 769L	Transdermal Drug Delivery Transdermal Drug Delivery (Laboratory)
Fall 2013	Entry-level	PH 230	Pharmacology/Medicinal Chemistry II
Fall 2013	Entry-level	PH 466	The Theory and Design of Controlled Release Dosage Forms
Spring 2014	Graduate	PHS 936	Dosage Form Design
Spring 2014	Graduate	PHS 769 PHS 769L	Transdermal Drug Delivery Transdermal Drug Delivery (Laboratory)
Spring 2014	Entry-level	PH 232	Pharmacology/Medicinal Chemistry III
Fall 2014	Entry-level	PH 230	Pharmacology/Medicinal Chemistry II (Course Coordinator)
Fall 2014	Entry-level	PH 466	The Theory and Design of Controlled Release Dosage Forms
Fall 2014	Graduate	PHS 936	Dosage Form Design
Spring 2015	Entry-level	PH 232	Pharmacology/Medicinal Chemistry III
Spring 2015	Entry-level	PH 221 03R	Pharmaceutics IV
Spring 2015	Entry-level	PH 221 06R	Pharmaceutics IV

- Mentoring students (M.S. and Ph.D.) for the projects related to solid-state characterization, pre-formulation, drug permeability, formulation and pharmaceutical processing.
- **PH 599:** Provided guidance to a Pharm. D. student for the formulation development project. Activities include teaching the concept, laboratory training, literature search, training and teaching formulation development activities, data analysis, result interpretation and presentation



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▪ **V. Instructional Effectiveness**

*(Cite any such evidence of teaching effectiveness as you deem appropriate, i.e., honors and awards)* **(Faculty at Post: Please submit to personnel file and refer to docket # in this application)**

**Medicinal Chemistry II & III:**

- I have been teaching Medicinal Chemistry II and III at the professional level. Medicinal Chemistry is a challenging subject, as both students and teachers have their own views about the subject's teaching and learning. As a new instructor, my philosophy is focused on *student learning* through effective *teaching*.
- Additionally, I have employed methodologies like "active student learning" and "student engagement" during the class.
- For active learning, students were directed to correlate the chemical structure differences with the pharmacokinetics and receptor affinity, by utilizing specific examples. This was followed by questioning the students, as a check measure to see how they articulate knowledge in foundational sciences and integrate to clinical reasoning.
- **Student engagement: (i)** I strive to bring enthusiasm for medicinal chemistry, and put my best to present the course material in the most effective way. From my own classroom experience of professional and graduate level courses, I found that students are receptive to learning opportunities that employ effective engagement. Hence, they were engaged by asking specific set-of questions related to the topic, and also giving them an opportunity to ask questions to the teacher and their fellow classmates, with the view of making the class session more interactive.
- **Student engagement: (ii)** Moreover, I came across an effective software tool wherein students can draw a chemical structure, and integrate their learning with the objectives of the course. And with the approval of the Division Director, I submitted the grant proposal to TLI, titled "Enhancing student engagement through implementing the ChemDraw iPad App in the Medicinal Chemistry Classroom for the Pharmacy Students" (**Appendix I**) to introduce the technology in the classroom. During the fall 2014, I even explained the use of ChemDraw iPad App to the students. In addition to



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the traditional paper-based learning style, I tried to acquaint the students with some free and open source software as well.

- **Fall 2014:** I acted as a Course Coordinator for PH 230; Pharmacology/Medicinal Chemistry II. This gave an opportunity to work with adjunct professor, and provide constructive guidance (in consultation with Dr. Benzeroual) related to students learning outcomes with a view to align the course learning objectives.
- **Future:** Keeping in mind the revised curriculum and accreditation standards of ACPE, the necessary changes will be made.

**Graduate level courses PHS 936 ad PHS 769:**

- Emphasis was given to the concepts like “active student learning” and “student engagement” during the class. Case-based teaching, problem-based learning, inquiry-based teaching methodologies were used and incorporated to engage the students. The objective was to create an atmosphere of excitement in the classroom at the graduate level, with special emphasis on the detail and depth of the concepts as well as its applicability.
- Students were asked a set of questions related to foundational knowledge. And case studies through research and review articles were also incorporated. More out-of-the-class learning assignments were provided. Class assignments were linked to student learning outcomes.
- Students were kept engaged in the classroom using case studies, examples, and providing assignments for the discussion and debate. They were asked to comprehend and grasp the concept and their learning was scrutinized through debate discussions, questions, and inquiry method. (Appendix II – research/review articles covered for out-side and in class teaching)
- Students were encouraged to become more active contributors/participants in their education through setting goals and by providing collaborative opportunities for learning. e.g. individual/group presentation of case studies to cover a particular concept. Likewise, class presentations of small duration were assigned to provide the

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platform for students to express their learning experience and also foster their communication skills.

- With a view to provide diversified learning experience, research/review articles which also cover the historical perspectives of a particular topic were assigned to the students.
- Specific attention was given to the needy students and the students from non-pharmacy background to bring everybody on the same page. Their learning was inspected by questioning them and also encouraging them to ask questions. Whenever needed, personalized teaching was also provided and so far the students have acknowledged and appreciated this approach.
- Emphasis was given to envelop specific skill sets in the laboratory environment. Important topics which are in line with current regulatory requirements for the dosage form design were also covered. Opportunities (like method development with respect to ICH or USFDA guidelines) were also given to maximize the student learning.
- I was also a part of the graduate assessment meeting during November 2013. During which I made some suggestions that could be implemented in my courses to meet the objectives of the graduate program, which were well acknowledged by the other faculties. These suggestions included giving opportunities to enhance the communication skills of our M.S/Ph.D. students, by encouraging them to present and debate in front of the class based on the various published research and review articles. Also these presentations were closely monitored and intervened by me whenever needed, to make sure that the students correlate the foundational knowledge and its application in the industrial research.
- I am of the view, that when students take the role of a teacher, they not only teach themselves but also help their fellow classmates to reach to the same level which in turn creates an efficient learning environment. (Flipped Classroom concept)
- I attended the workshop on “Flipped Classroom” and the learning points from the workshop have been implemented in the classroom, to foster personalized teaching and also to make sure that the individual student is learning. I plan to continue the same in



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future. Students were made aware about other learning opportunities like webinars by AAPS and other organizations. Regional meetings by AAiPS and NJPhast.

- I will continue to collect feedbacks from the students and plan to accommodate their needs so they can learn in the most effective way.

#### **Workshop attended to enhance the teaching effectiveness**

1. Workshop on Inter-professional Education - January 2014
2. Workshop on Introduction to the Flipped Classroom - March 2014
3. Workshop on TLI Teaching w/Technology to Promote Student Engagement – June 2014

#### **VI. Teaching**

Please provide copies of course syllabi for all courses taught over the past two years.

**(Faculty at Post: Please submit to personnel file and refer to docket # in this application)**

PH 230 - Pharmacology/Medicinal Chemistry II

PH 466 - The Theory and Design of Controlled Release Dosage Forms

PH 232 - Pharmacology/Medicinal Chemistry III

PHS 769 - Transdermal Drug Delivery

PHS 936 Dosage Form Design

#### **(A) Teaching Statement (Optional)**

My move from a research laboratory to an academic setting was inspired by a desire to teach. Therefore, being a member of the LIU, attention to teaching and learning is important to me. Teaching and learning involves an inherent contract. Students must agree to take responsibility for their learning in order to engage, and teachers must be willing to be engaged, as well. My approach to education is focused on *student learning* through effective *teaching*. I would certainly want my students to learn the fundamental concepts and theories of the courses, but beyond that, I hope to foster critical thinking, provide a strong foundation for life-long learning skills and problem-solving strategies and prepare students to function effectively and professionally. I put into practice and balance the following basic classroom dialectics to achieve the goals.

**Sharing Knowledge and Facilitating Learning:** Students bring wide knowledge bases to the table in each course, so each course is different according to the background and learning preferences. A further complication is that students also bring different levels of maturity, interest and motivation. I respond to this challenge by making course materials accessible to all students and to be responsive to individuals who are having difficulty integrating the concepts. I

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encourage students to tap into their prior knowledge, test it against what is presented in class to build a greater understanding and learning.

**Theory, Concepts and Application:** I believe that learning requires deep understanding that can only come when students internalize and actively apply knowledge in creative and meaningful ways. I hope that students will be able to wrestle with the course material in their own lives, applying theories to what they experience in their everyday world. Ideally, this approach should empower students to articulate ideas and process concepts in ways that are meaningful to them.

Physical concepts cannot be taught or learned purely through lectures. Many concepts demand the use of an entirely different part of the brain than language and therefore must be examined and practiced in non-verbal ways. For this reason, I use problem sets which can assure that the students have thoroughly studied the concepts. Many times the problem sets present new information in a different way and promotes the learning.

**Helping and Challenging:** My role as a teacher includes helping students succeed in higher education. I want students to be able to personalize their education via active learning and recognize their potential. I believe most students will rise to the challenge when quality work is demanded of them if they are also helped to develop the skills necessary to make that possible.

**Maintaining Rigor and Encouraging Creativity:** Students learn effectively when they are actively, continuously and rigorously engaged. Students should be actively engaged so they feel greater ownership of the knowledge. I use active learning strategies and try to develop assignments that foster both analytical and critical thinking and opportunities for creative application of concepts and theories.

**Respecting and Supporting Academic Values:** I strive to provide an environment where students feel comfortable in expressing their needs and opinions. I promote a vibrant academic life, promote scientific progress, and prepare students for responsible citizenship through endorsing honesty, trust, fairness, respect, and responsibility. These values enable academic communities to translate ideals into action.

#### (B) Student Evaluations

University of Washington Student Evaluations is part of your promotion and tenure file and is available in the library. Thus, you are not required to include those in your personnel file. Note that no other anonymous documents should be included in your files.

#### **PH 230 and PH 232 (Medicinal Chemistry II and III)**

- I have been teaching **Medicinal Chemistry II and III** at the professional level. Medicinal Chemistry is a challenging subject and both students and teachers have their own views about Medicinal Chemistry teaching and learning. As a new instructor, my philosophy is focused on *student learning* through effective *teaching*. The objective has been to reflect on my teaching style and adapt according to the students' needs. As Medicinal Chemistry is not my major specialization, I wanted to make sure that I deliver the class according to the learning objectives while considering students' needs.
- Classroom Course Evaluation by the students was found to be mostly on "Strongly Agree" and "Agree" categories.



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- However, efforts have been made to reach out to P4 students (through emails using BlackBoard) to collect their feedback during and at the end of the semester. Few students responded and provided feedback.
- “Formative teaching assessment” was carried-out by getting feedbacks during the class. The goal was to monitor student learning and to collect ongoing feedback to improve teaching and students’ learning.
- “Extended office hours” and “exam review” sessions were allocated during the examination times to take care of students’ questions and concerns before the examination.

#### **PH 230 of fall 2014 (Medicinal Chemistry II)**

- I was a course coordinator for the class “PH230 - Pharmacology/Medicinal Chemistry II”. I have worked with an Adjunct Professor, who taught the Pharmacology section.
- As a part of my duties, I provided necessary support and guidance to the Adjunct Professor about the examination structure, learning objective, and course contents.
- Worked with Pharmacy Practice Professors to align the course materials of “PH230 - Pharmacology/Medicinal Chemistry II” and Therapeutics (PH210). Suggestions and recommendations from the meeting have been incorporated to align the contents, wherever needed. I appreciate the collegial support of pharmacy practice faculty members. **(Appendix III)**
- Students’ reported some issues related to the exam questions of “Pharmacology Section” after the first examination (covered by the Adjunct professor). The students also acknowledged that the questions of Medicinal Chemistry were fair and the contents were well discussed in the classroom.
- Students’ concerns were addressed in consultation with the Division Director and the Adjunct Professor, while respecting the academic freedom of faculty member, students concerns, and learning objectives of the course.
- Feedbacks were collected after second and final examination. Students were satisfied with contents of the both examinations.

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- Recommendations, observations and a proposal for faculty development session for an adjunct professor have been submitted to the Division Director. I have also suggested the Division Director to report the need and concerns to the "Faculty, Staff and Preceptor Development Committee" for further actions (**Appendix IV**).

#### **PH 466 (Theory & Design Control Release Dosage Forms)**

- This was an elective course with special attention to the applications and integration of basic concepts of pharmaceutics in the drug delivery.
- Classroom Course Evaluation by the students was found to be mostly on "Strongly Agree" and "Agree" categories.
- "Extended office hours" and "exam review" sessions were allocated to take care of students' questions and concerns before the examination.

#### **PHS 769 - Transdermal Drug Delivery**

- The majority of the students indicated their response as "strongly agree" and "agree" categories during the Fall 2013 and Spring 2014 Graduate Programs Survey.
- I reached out to the students to get feedback about the classroom approaches. The majority of the students appreciated the classroom approach.
- In the future, I would like to continue in the similar way while adjusting to the students' needs.

#### **PHS 936 - Dosage Form Design**

- The majority of the students indicated their response as "strongly agree" and "agree" categories during Fall 2013 and Spring 2014 Graduate Programs Survey.
- I reached out to the students to get the feedback about the classroom approaches. The majority of the students appreciated the classroom approach.
- In the future, I would like to continue in the similar way while adjusting to the students' needs.

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**(C) Development of a New Course**

Dr. Cutie suggested writing an elective course for the graduate program during one of the meetings in Summer 2013. To which I responded and designed a course “Advanced Pharmaceutical Solids”, to offer unique learning opportunities to our students. This is in-line with my academic training and skills. Division has suggested offering the course in future. I appreciate the support of former Division Director and Dr. Bellantone for reviewing the course.

**(Appendix V – syllabi of the new course)**

**Course title:** Advanced Pharmaceutical Solids

**VII. Service Responsibilities at Long Island University**

*(Please indicate dates, nature of responsibilities and offices held)*

**(A) Committees:**

- i) Departmental
- ii) School or College

**1. Faculty Review Committee (FRC) (2013-2014 and 2014-2015 Academic Year)**

- i. Working in a team to prepare “Policies and Procedures Manual” for the FRC

**2. Curricular Assessment Committee (CAC) (2013-2014 Academic Year)**

- ii. Participated as a member of the team for AACCP accreditation visit and met the AACCP accreditation team

**3. Research Committee (2013-2014 and 2014-2015 Academic Year)**

- iii. Worked in a team and searched for current policies within the University’s website, sought guidance from University officers, and met with Ms. Kitty Rocket.
- iv. As per the information provided by Ms. Rocket, I contributed in putting up a document outlining the available policies.
- v. The College’s existing mission statement of research and scholarship was outdated and needed revision. Participated in revising the mission statement.
- vi. Conducted faculty interviews and collected information about their research interests.

**(Appendix VI).**

- vii. Taken responsibility to search grant opportunities and disseminate to the faculty members every month **(Appendix VI).**



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- viii. Research Committee met with Dean Pezzuto on 6<sup>th</sup> February 2015; who shared with us his vision for research and scholarship at the College. We have started working to align with the vision of Dean Pezzuto and research/scholarship activities in the LIU Pharmacy.

**4. Student Portfolios Committee (2013-2014 and 2014-2015 Academic Year)**

- ix. Contributed in revising the portfolio process that limited full portfolio requirements for P-4 and P-5 students.
- x. Collected information related to various industrial opportunities for our students. This will help them choose an appropriate career in the pharmaceutical industry. (**Appendix VII**)

**5. Committee on Committees (COC) (2014-2015 Academic Year)**

- xi. As a part of this committee, we have gathered the information related to the faculty preferences to serve on various committees. Information was compiled and recommendations were submitted.

**6. ExamSoft taskforce committee**

College of Pharmacy Computer-Based Testing Task Force; exploring computer based testing for the professional program.

- xii. I am a part of a taskforce to learn software related to online examinations. As a part of this I have gathered information related to Examsoft by reading various articles, going through various presentations and case studies.
- xiii. Attended various interactive sessions with the representative of ExamSoft, and participated in the discussions related to integration of ExamSoft in our college. I made necessary inquiries related to the attachment of chemical structure, graphics, and equations for drafting of the questions.

iii) Campus-wide

iv) University-wide

(B) Administrative Service: N/A

(C) Advisement for student clubs/organizations, etc.:

**Faculty Advisor:** AAPS-LIU student chapter for 2013-2014 and 2014-2015 academic year



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(D) Advisement for graduate students

**Students during 2013 to 2015**

Doctor of Philosophy (Ph.D.) Degree - Pharmaceutics

1. Nisarg Modi
2. Kinjalben Patel
3. Basim Pratap Choudary
4. Moksh Jagia
5. Siddhi Dudhat (co-advisor): Dr. Dave requested to provide guidance to the student. I acted as a co-advisor for a project, which was related to my specialization. For which I contributed my time and efforts with the student to collect the data and identify the mathematic model for shear cell related analysis. However, due to instrument related issues, the project was dropped. Nevertheless, the project provided a unique learning opportunity.

Master of Science (M.S.) Degree - Pharmaceutics

6. Jaimin Shah
7. Jinish Patel
8. Riddhi Desai
9. Ashwini Kini
10. VenkataRamakrishna Lingamaneni
11. Shruti Patel
12. Sujit Shrestha
13. Manikanta Gurram
14. PavanKumar Nukala
15. Ruchi Daptardar
16. Manisha Shenai
17. Rutuja Mahamuni

(E) Advisement for the high school student (Summer 2014)

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- Mentored student (Ms. Cindy Lei) from **Brooklyn Tech high school** through the summer intern program during Summer 2014. (Part of an agreement with Brooklyn Tech high school and LIU Pharmacy).
- **Activities:** Lectures on pharmaceutical processing, tableting, wet granulation, drug formulation and productions of tablets; laboratory training on pharmaceutical processes like granulation, tableting, analytical instruments, and other specific laboratory operations; provided training on writing reports on research activities and presentation on research findings.

(F) Services to the college

1. Portfolio mentoring during for the academic year 2013-2014 and 2014-2015.
2. Interviewer for Fall 2014: Upcoming student's interviews
3. Proctor: Objective Structured Clinical Examination (OSCE) during May 2014
4. Participated and gave inputs for focus group survey: AACP/ACPE faculty survey
5. Occasionally, served as a 'minute taker' for the division meetings

(G) Committee member for M.S. and Ph.D. research program

**Reviewer for the research thesis for the Masters and Ph.D. degrees in Pharmaceutical Sciences**

Sr. No.	Title	Degree
1.	An Improved Method to Determine and Characterize the Solubility of Drugs in Solid Polymers	Ph.D. with specialization in Industrial pharmacy
2.	In vitro diffusion studies for the assessment & optimization of the drug release from various dermatological formulations of verapamil hydrochloride	Masters of science with specialization in Industrial pharmacy (May 2014)
3.	Pharmacokinetics of diclofenac sodium in plasma and skin following iv infusion in a rabbit model	Masters of science with specialization in Industrial pharmacy (May 2014)
4.	To study the release of aripiprazole gel through Cellulose membrane and human cadaver skin using Different permeability enhancers	Masters of science with specialization in Industrial pharmacy (May 2013)
5.	To understand the effect of sol vents on rheological Properties of microcrystalline cellulose granules using Hydroxypropyl methylcellulose as a binder and Evaluate the effect of relative humidity on the Rheological properties of granules	Masters of science with specialization in Industrial pharmacy (September 20,2013)



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6.	Comparative Study of Iontophoresis and Iontophoresis/Microporation-pretreatment of Diclofenac Sodium delivery in Rabbit	Masters of science with specialization in Industrial pharmacy (May 2013)
7.	In vitro diffusion studies for the assessment & Optimization of the drug release from various Verapamil hydrochloride dermatological Formulations	Masters of science with specialization in Industrial pharmacy (May 2014)
8.	Assessing the permeability of a potent Antipsychotic drug (risperidone) through human Cadaver skin: effect of permeability enhancers And formulation variables	Masters of science with specialization in Industrial pharmacy (May 2014)
9.	To study the release of verapamil hydrochloride Gel through cellulose membrane and human cadaver Skin using different permeability enhancers	Masters of science with specialization in Industrial pharmacy (January 2014)
10.	Design, synthesis and in vitro biological Evaluation of new tra~sthyretin (ttr) amyloid Fibril formation inhibitors	Master of science with specialization in pharmacology and Toxicology (August 2013)
11.	In vitro diffusion studies for the assessment & Optimization of promethazine hydrochloride Dermatological formulations	Masters of Science with specialization in Industrial pharmacy (May 2014)
12.	Liquid Salt as Green Solvent: A Novel Eco-Friendly Technique to Enhance Solubility and Stability of Poorly Soluble Drugs	Ph.D. with specialization in Industrial pharmacy (February 2014)
13.	Formulation and Characterization of Acetaminophen Nanoparticles in Orally Disintegrating Films	Ph.D. with specialization in Industrial pharmacy (February 2014)
14.	Vorinostat imparts anti-neoplastic effects against Glioblastoma Multiforme via IGF-1R signaling pathway	Master of science with specialization in pharmacology and Toxicology (February 2014)
15.	In situ characterization of free drug fractions and drug polymer binding in vitro using pulsatile microdialysis	Ph.D. with specialization in Industrial pharmacy (January 2014)

#### **VIII. Professional Affiliations and Activities**

*(Include service on committees, offices held and level of participation. Please include dates.)*

##### **(A) Professional Societies:**

1. American Association of Pharmaceutical Scientists (AAPS) – Member
2. American Association of Indian Pharmaceutical Scientists (AAiPS) – Member

- I. **Steering Committee member for AAPS - Generic Pharmaceuticals focus group (GPFG) – Selected based on merit through membership drive by AAPS (Appendix VIII) (American Association of Pharmaceutical Scientists = AAPS)**
  - i. Participated in various activities to meet the objectives of GPFG.

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- ii. Reviewed and provided feedback on future workshop proposal by AAPS on “Implementing Continuous Manufacturing to Transform the Development & Manufacturing of Solid Oral Dose Pharmaceutical Products”.
- iii. Provided inputs related to AAPS E-learning course on “pharmaceutical stability”
- iv. Preparing a proposal for AAPS webinar on “Safety Assessment of Inactive Ingredients Used in Formulation Development – Current Status of ANDA Reviews”. Activities include contacting field experts (from industry and regulatory agencies) and preparing a proposal
- v. Screening of “Programming Ideas” for AAPS annual meeting and exposition – An international annual conference

(B) Honor Societies:

(C) Other Professional Activities:

*(Include editorial roles and manuscript reviews in this section.)*

Manuscript Reviewer:

European Journal of Pharmaceutical Sciences (EJPS) - Reviewed 6 manuscripts  
 Life Sciences  
 International Journal of Pharmaceutics  
 Advanced Powder Technology  
 Journal of Drug Discovery, Development and Delivery  
 Journal of Advanced Pharmaceutical Technology & Research  
 Proceedings of the National Academy of Sciences

**Information about the Journals for which the services were provided**

- *Life Sciences:* Life Sciences is an international journal publishing articles that emphasize the molecular, cellular and functional basis of therapy. The journal emphasizes the understanding of mechanism that is relevant to all aspects of human disease and translation to patients. This journal is ranked 10th out of 105 (top 9.5%) in the subject area of Pharmacology, Toxicology and Pharmaceutics by SCImago.
- *International Journal of Pharmaceutics:* 5-Year Impact Factor: 4.090, ranked 17 out of 211 journals (top 8%) in Pharmaceutical Science by SCImago
- *European Journal of Pharmaceutical Sciences (EJPS):* EJPS is an official Journal of the European Federation for Pharmaceutical Sciences. 5 year Impact factor: 3.493, ranked 24 out of 211 Journals (top 11%) in Pharmaceutical Sciences by SCImago

AAPS Abstract Reviewer:

Reviewed research abstracts for AAPS Annual Meeting and Exposition, 2014

**Editorial Board member:** Journal of Developing Drugs



Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

Selected for the reviewers pool for the future grants of NIH – “NIH grant reviewer volunteer program”

#### **IX. Scholarly and/or Artistic Accomplishments**

**(Faculty at Post: Please submit to personnel file and refer to docket # in this application)**

##### **(A) Publications:**

**Please follow these directions:** List all publications chronologically, starting with the most recent. Indicate, as of the date of the submission of this form, whether the publication is currently in print, in press, accepted for publication without revision, or accepted for publication with revision (include the letter indicating the revisions requested and the resubmission, if completed). For pieces in press or accepted with or without revision, include a letter of notification from the editor. For pieces submitted, include a letter of receipt from the editor. Use a bibliographic format. Submit one reprint of each publication since appointment or last promotion. Indicate which, if any, pieces are co-authored. Include the names of co-authors and clarification of your role in generating the work. Use a continuous numerical system to notate each item listed below and then tab all corresponding supporting documents in the file.

#### **I. Journal Articles**

##### **A. List of original research outcomes in the areas of solid-state characterization, manufacturing sciences and drug formulation (including submitted and under preparation)**

Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing

<b>Sr. No.</b>	<b>Title of the research work</b>	<b>Journal Name</b>	<b>Status</b>
1.	Characterization and thermodynamic relationship of three polymorphs of a xanthine oxidase inhibitor, Febuxostat <b>Authors:</b> Jinish Patel, Moksh Jagia, Arvind Kumar Bansal, Sarsvatkumar Patel ( <b>Appendix IX</b> )	Journal of Pharmaceutical Sciences	First submission: 01-Nov-2014 Asked to revise on 24-Nov-2014 (required to generate new experimental data) Revision submitted on 02-March-2015 Current status: Under review
2.	Prediction of the solubility in lipidic solvent mixture: Investigation of the modeling approach and thermodynamic analysis of solubility <b>Authors:</b> Shruti V Patel and Sarsvatkumar Patel ( <b>Appendix X</b> )	European Journal of Pharmaceutical Sciences	First submission: 24-Dec-2014 Asked to revise on 23-Jan-2015 (need to generate new experimental data) Current status: Under revision

Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

3.	Prediction of Mechanical Property of Multi-Component Systems: Investigation of Modeling Parameters and Interactions between the Materials with different Mechanical Properties <b>Authors:</b> Sujit Shreshtha and Sarsvatkumar Patel <b>(Appendix XI)</b>	International Journal of Pharmaceutics	First submission: 25-Dec-2014 Current status: Under revision
4.	Phase behavior, intermolecular interaction and biopharmaceutical characterization of amorphous solid dispersion of Febuxostat <b>Authors:</b> Ashwini Kini, Sarsvatkumar Patel <b>(Appendix XII)</b>	-	Manuscript under preparation (research work of MS student)

**B. List of original research outcomes in the areas of Transdermal Drug Delivery (under preparation and at various stages)**

Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing

(Acknowledgment: Dr. R Bellantone (mentor) for helping to understand new research area and help in data analysis)

Sr. No.	Title of the research work	Journal Name	Status
5.	Assessing the permeability of a potent antipsychotic drug (risperidone) through human cadaver skin: effect of permeability enhancers and formulation variables <b>Authors:</b> Jaimin Shah (M.S. student) <b>(Appendix XIII)</b>	-	Manuscript under preparation (research work of MS student)  (Jaimin Shah was transferred to me after retirement of Dr. Plakogianis during Oct. 2012 – Soon after my joining at LIU)

Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

6.	Effect of pH on permeation of zwitterion ampholytic drug acyclovir through pig skin and human skin with a focus on modeling and prediction of invitro human skin data from pig skin. <b>Authors:</b> Venkata Ramakrishna Lingamaneni (M.S. student) <b>(Appendix XIV)</b>	-	Manuscript under preparation (research work of MS student)
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## II. Journal Articles (in collaboration)

1. Bhanu Teja Surikutchi; Shashank Pralhad Patil; Ganesh Shete; **Sarsvatkumar Patel**; Arvind Kumar Bansal; "Drug-excipient behavior in polymeric amorphous solid dispersions" Journal of Excipients and Food Chemicals, Vol 4, No 3 (2013).

Role: Conceptualization, Manuscript writing

## Abstracts/poster presentations

### III. Research posters presented at AAPS Annual Meeting and Exposition; November 2013; San Antonio, TX, USA.

Role: Conceptualization, Experimental design, Data analysis, Manuscript writing

1. J. Shah, K. Patel, N. Modi, and **S. Patel**; "Assessing the permeability of a potent antipsychotic drug (Risperidone) through Human cadaver skin: Effect of permeability enhancers and formulation variables". In: AAPS Annual Meeting and Exposition, November 10-14, San Antonio, TX, U.S.A, 2013.
2. K. Patel, J. Shah, N. Modi, and **S. Patel**; "Permeability of stabilized formulation of Paroxetine Hydrochloride through Pig Skin: Effect of penetration enhancers and formulation variables". In: AAPS Annual Meeting and Exposition, November 10-14, San Antonio, TX, U.S.A, 2013.

### IV. Research posters presented at AAPS Annual Meeting and Exposition 2014; San Diego, CA, USA. (Appendix XV)

Role: Conceptualization, Experimental design, Data analysis, Manuscript writing



Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

3. Kini, **S. Patel**; Solid-State and Biopharmaceutical Characterization of Amorphous Solid Dispersions of Febuxostat. Accepted In: AAPS Annual Meeting and Exposition, November 2014, San Diego, CA U.S.A., 2014.
4. S. V. Patel, **S. Patel**; Prediction of Solubility of Poorly Soluble Drugs in Lipid Based Solvent Mixtures Using Mathematical Models. Accepted In: AAPS Annual Meeting and Exposition, November 2014, San Diego, CA U.S.A., 2014.
5. J. S. Patel, A. K. Bansal, **S. Patel**; Characterization and Thermodynamic Relationship of Three Polymorphs of a Xanthine Oxidase Inhibitor. Accepted In: AAPS Annual Meeting and Exposition, November 2014, San Diego, CA U.S.A., 2014.
6. Lingamaneni, **S. Patel**; Effect of Different pH on Permeability of Acyclovir through Pig Skin and Human Cadaver Skin. Accepted In: AAPS Annual Meeting and Exposition, November 2014, San Diego, CA U.S.A., 2014.
7. S. Shrestha, **S. Patel**; Prediction of Mechanical Properties of Multi-component System Using Mathematical Models. Accepted In: AAPS Annual Meeting and Exposition, November 2014, San Diego, CA U.S.A., 2014.
8. K. R. Patel, S. B. Patel; Preparation and Solid-State Characterization of Salt Forms of Febuxostat. Accepted In: AAPS Annual Meeting and Exposition, November 2014, San Diego, CA U.S.A., 2014.

Previous publications

#### **i. Peer Reviewed Articles**

#### **Patents**

1. Bansal AK, Munjal B, and **Patel S**. Novel self-emulsifying curcumin compositions with enhanced bioavailability. PCT/IB/2009/005154: (2009).  
Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing
2. Bansal AK, Munjal B, and **Patel S**. Novel self nano-emulsifying curcumin (curcuminoids) composition with enhanced bioavailability. Indian Patent Application No. 1776/DEL/2008: (2008).  
Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing



Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

### Research Publications

3. Pawar YB, Purohit H, Valicherla GR, Munjal B, Lale SV, **Patel S**, Bansal AK. 2012. Novel lipid based oral formulation of curcumin: Development and optimization by design of experiments approach, *Int J Pharm* 436: 617-623.

Role: Data analysis, Manuscript writing

4. **Patel S**, Kaushal AM, Bansal AK. 2011. The effect of starch paste and sodium starch glycolate on the compaction behavior of wet granulated acetaminophen formulations. *J Excipients Food Chemicals* 2: (3) 64-72.

Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing

5. **Patel S**, Dahiya S, Sun CC, Bansal AK. 2011. Understanding size enlargement and hardening of granules on tabletability of unlubricated granules prepared by dry granulation. *J Pharm Sci* 100: 758-766.

Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing

6. **Patel S**, Bansal AK. 2011. Prediction of mechanical properties of compacted binary mixtures containing high-dose poorly compressible drug. *Int J Pharm* 403: 109-114.

Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing

7. Munjal B, Pawar YB, **Patel S**, Bansal AK. 2011. Comparative oral bioavailability advantage from curcumin formulations. *Drug Del Trans Res* 1-10.

Role: Conceptualization, Data analysis, Manuscript writing

8. Srivastava A, Mishra S, Tandon P, **Patel S**, Ayala A, Bansal A, Siesler H. 2010. Molecular structure and vibrational spectroscopic analysis of clopidogrel hydrogen sulphate. *J Mol Struct* 964: 88-96.

Role: Data analysis, Manuscript writing

9. **Patel S**, Kaushal AM, Bansal AK. 2010. Mechanistic investigation on pressure dependency of Heckel parameter. *Int J Pharm* 389: 66-73.

Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing

Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

10. Joshi AB, **Patel S**, Kaushal AM, Bansal AK. 2010. Compaction studies of alternate solid forms of celecoxib. *Adv Powder Technol* 21: 452-460.

Role: Conceptualization, Experimental design, Data analysis, Manuscript writing

11. Hiwale P, Amin A, **Patel S**, Bansal AK. 2009. Variables affecting reconstitution behavior of cefuroxime sodium for injection. *Asian J Pharm Sci* 4: 23-31.

Role: Data analysis, Manuscript writing

12. Alam S, **Patel S**, Bansal AK. 2009. Effect of sample preparation method on quantification of polymorphs using PXRD. *Pharm Dev Technol* 15: 452-459.

Role: Experimental design, Data analysis, Manuscript writing

13. **Patel S**, Kaushal AM, Bansal AK. 2008. Compaction behavior of roller compacted ibuprofen. *Eur J Pharm Biopharm* 69: 743-749.

Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing

14. Hiwale P, Amin A, **Patel S**, Bansal AK. 2008. Reconstitution behavior of cefuroxime sodium powder for injection. *Indian J Hosp Pharm* 45: 121-125.

Role: Data analysis, Manuscript writing

15. **Patel S**, Kaushal AM, Bansal AK. 2007. Effect of particle size and compression force on compaction behavior and derived mathematical parameters of compressibility. *Pharm Res* 24: 111-124.

Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing

16. **Patel S**, Kaushal AM, Bansal AK. 2007. Lubrication potential of magnesium stearate studied on instrumented rotary tablet press. *AAPS PharmSciTech* 8: E1-E8.

Role: Conceptualization, Experimental design, Data collection, Data analysis, Manuscript writing

17. **Patel S**, Kaushal AM, Bansal AK. 2006. Compression physics in the formulation development of tablets. *Crit Rev Ther Drug Carrier Syst* 23: 1-65.

Role: Conceptualization, Manuscript writing

ii. Non-Peer Reviewed Articles

iii. Books

Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

iv. Book Chapters

v. Book Reviews, Abstracts and Other Publications

vi. Edited Works

(B) Professional Presentations:

**Please follow these directions:** List all presentations chronologically in the appropriate category below, starting with the most recent. Please identify the nature and dates of the conference, whether the presentation was a session devoted to your work exclusively, part of a panel presentation or a poster session, etc. Indicate which, if any, of your presentations were written and/or presented with colleagues, the names of any such colleagues and clarification of your role in generating the work. In all cases, submit a copy of the materials presented (papers, PowerPoint presentation slides, etc.) **(Faculty at Post: Please submit to personnel file and refer to docket # in this application)**

- i. Peer Reviewed Presentations (include materials submitted for review)  
(Cite any published conference proceedings immediately after the corresponding presentation.)

**Conference Presentations - Selected Poster/Oral presentations.**

1. **Patel S**, Hou H, Huang Y, Zhang GGZ, Strong J, Sun CC. Assessing the effect of drug loading on mechanical properties of copovidone-based amorphous solid dispersions. In: AAPS Annual Meeting and Exposition, October 14-18, Chicago, IL, U.S.A, 2012. (Poster presentation)
2. **Patel S**, Hou H, Huang Y, Zhang GGZ, Strong J, Sun CC. Mechanical properties of copovidone (PVP/VA64) amorphous solid dispersions - effects of moisture, drug and surfactants loading. In: AAPS Annual Meeting and Exposition, October 23-27, Washington, DC, U.S.A, 2011. (Poster presentation)
3. **Patel S**, Sun CC. A modernized indentation technique for measuring pharmaceutical compact hardness. In: AAPS Annual Meeting and Exposition, October 23-27, Washington, DC, U.S.A, 2011. (Poster presentation)
4. **Patel S**, Sun CC. Moisture-induced deterioration in flow properties of microcrystalline cellulose. In: AAPS Annual Meeting and Exposition, October 23-27, Washington, DC, U.S.A, 2011. (Poster presentation)
5. Dahiya, S., **Patel, S.**, and Bansal, A. K. Effect of altered granule morphology on inherent bonding properties of microcrystalline cellulose. In: The Fourth Asian Particle



Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

Technology Symposium (APT), September 14-16, New Delhi, India, 2009. (Oral presentation)

6. **Patel, S.,** Kaushal, A. M., and Bansal, A. K. Investigation of bonding strength and bonding capacity in structurally similar materials - The Ryshkewitch and force-displacement profiles of palmitic acid and stearic acid In: 61<sup>th</sup> Indian Pharmaceutical Congress (IPC), December 11-13, Ahmedabad, India, 2009. (Poster presentation)
7. Dahiya, S., **Patel, S.,** and Bansal, A. K. Effect of altered granule morphology on granule and compaction properties of microcrystalline cellulose. In: 61<sup>th</sup> Indian Pharmaceutical Congress (IPC), December 11-13, Ahmedabad, India, 2009. (Poster presentation)
8. **Patel, S.,** Kaushal, A. M., and Bansal, A. K. Measurement of compaction force and displacement parameters for quantification of compactability of pharmaceuticals. In: Annual Meeting and Exposition of the Controlled Release Society (CRS), July 12-16, New York, NY, USA, 2008. (Poster presentation)
9. **Patel, S.,** Kaushal, A. M., and Bansal, A. K. Micro mechanical investigation of fracture properties of roller compacted acetaminophen. In: Annual Meeting and Exposition of the Controlled Release Society (CRS), July 12-16, New York, NY, USA, 2008. (Poster presentation)
10. **Patel, S.,** Kaushal, A. M., and Bansal, A. K. Instrumented tableting press as an analytical tool to monitor precompression, main compression and ejection forces in the early formulation development of pharmaceuticals. In: 60<sup>th</sup> Indian Pharmaceutical Congress (IPC), December 12 - 14, New Delhi, India, 2008. (Poster presentation)
11. **Patel, S.,** Kaushal, A. M., and Bansal, A. K. Influence of experimental variables of true density and compact weight on evaluation of compaction behavior of pharmaceutical drug substances using Heckel model. In: 60<sup>th</sup> Indian Pharmaceutical Congress (IPC), December 12-14, New Delhi, India, 2008. (Poster presentation)

ii. Invited Presentations (include letter of invitation)

Invited presentation (September 2011): "Recent progress in characterizing pharmaceutical powder flow and tablet mechanical strength" at Upsher-Smith Laboratories, Inc., Maple Grove, MN 55369

iii. Non-Peer Reviewed Presentations

(C) Exhibitions, Shows, Performances and Other Artistic Activities:

Where appropriate, provide a chronological list of the professional activities noted above. Please provide evidence of the nature and quality of the activity cited.

(D) Grants:

Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

Provide a chronological list of activities starting with the most recent. With co-authored grants, provide the name of the collaborators, your role in the writing of the grant, your role in the activities of the grant should it be (or should it have been) awarded.

i. Grants Submitted:

Include Date Submitted, Agency, Title, Amount Awarded, Status

1. AACP (The American Association of Colleges of Pharmacy)- New Investigator Award 2013-2014 (**Appendix XVI**)  
 Title: Development of highly permeable formulations to target Onychomycosis  
 Amount: 10, 000 USD  
 Submitted: August 31, 2013  
 Agency: The American Association of Colleges of Pharmacy, USA  
 Status: Denied
  
2. **Title:** Quality-by-Design (QbD) approach towards better content uniformity: Understanding the powder segregation tendency through accelerated powder segregation tester. Our lab got support in terms of patented instruments to carry out the project. (**Appendix XVII**)  
**Company:** The Globle Pharma Inc. New Brunswick, NJ, USA
  
3. Contributed to NSF research grant – (for NMR instrument) – requested by Dr. Watson from the chemistry department of the LIU. NSF grant is the University-wide grant submission by the Chemistry department (**Appendix XVIII**)  
**Project Title:** Characterization of pharmaceutical prodrugs and salts using NMR
  
4. **Title:** “Enhancing student engagement through implementing the ChemDraw iPad App in the Medicinal Chemistry Classroom for the Pharmacy Students” to introduce the technology in the classroom.  
**Agency:** Teaching and Learning Initiative (TLI)  
**Status:** Denied  
**Note:** The concept has been experimented in the classroom. The software can provide a platform wherein students can draw chemical structure. This is in addition to the traditional paper-based learning style.



Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

ii. Grants Received:

Include Date Awarded, Date Concluded (if applicable), Agency, Title, Amount Awarded

5. **Title:** Quality-by-Design (QbD) approach towards better content uniformity: Understanding the powder segregation tendency through accelerated powder segregation tester. Our lab got support in terms of patented instruments to carry out the project.

(Appendix XVII)

**Company:** The Globle Pharma Inc. New Brunswick, NJ, USA

iii. Previous Grants:

Young Scientist Fellowship (2007-2010): Received 1.5 Million INR from Department of Science and Technology; Ministry of Science and Technology; Government of India, for the research project entitled "Micro-mechanical investigations of solid-state properties on processibility and performance of solid dosage form".

(E) Professional Consulting:

Briefly describe any major professional consulting engagements in which you have participated, including the date(s), institution(s)/individual(s) for whom consultation was provided, and the nature of the professional consultation.

(F) Clinical Practice:

Briefly describe, if applicable, relevant clinical practice activities including date(s), institutions(s)/individuals(s) for whom clinical services were provided and the nature of the clinical services.

(G) Professional Statement:

Briefly describe your scholarly, research and/or artistic agenda. What has been, is, and do you expect will be, the focus (foci) of your work? What do you see as your contributions to your field? What goals have you set?

**Research Interests**

Oral solid dosage forms have been widely used because of their convenience of administration, ease of manufacturing, accurate dosing, and patient compliance. Our research efforts are focused in exploring the fundamental science underlying the preformulation, formulation and manufacturing of dosage forms. We are interested in the material science of pharmaceutical solids with a specific emphasis on their physical characterization.

**Current areas of research include-**

(i) **Pre-formulation profiling**

- physico-chemical characterization
- permeability
- solubility

Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

**(ii) Pharmaceutical material characterization**

- amorphous
- polymorphism and pseudo-polymorphism
- salt
- co-crystals

**(iii) Manufacturing sciences**

- mechanical property
- tableting
- granulation
- flow property

The research efforts are focused to “build-the-quality” within the drug products through pharmaceutical Quality by Design (QbD) concept. Using QbD, pharmaceutical quality is assured by understanding and controlling formulation and manufacturing variables.

**Lab Development Activities and Current Research Projects (in-house and in collaboration)**

**1. Solid-state characterization of polymorphs of Febuxostat (FXT), a xanthine oxidase inhibitor (in collaboration with Dr. A K Bansal, NIPER, India)**

- i. FXT was selected after vigorous patent and literature search
- ii. Drug was gifted by a professional friend from India (bulk drug may not be available in USA and is very expensive)
- iii. FXT is a new molecule and due to the nature of the molecule, it offers many opportunities to explore the original research.
- iv. Working on the biopharmaceutical and physicochemical characterization of various polymorphs of FXT
- v. So far 3 polymorphs have been isolated and characterized. The research work has been submitted to the Journal of Pharmaceutical Sciences and currently under revision.
- vi. M.S. and Ph.D. students are working on the various aspects of FXT

**2. Design and Structural Inter-relationships behind the formation of formation of Eutectics and Co-crystals (in collaboration with Dr. A K Bansal, NIPER, India)**

- i. Many model systems (more than 20 drug and co-formers) have been screened at both the locations
- ii. Materials were selected after the thorough literature search and considering molecular descriptors
- iii. Data analysis and data collection are ongoing at the both locations
- iv. Students get opportunity to interact with Dr. Bansal on bi-weekly basis. Dr. Bansal has published more than 150 research articles and has about 20 years of filed experience in the industry and academia
- v. Moksh Jagia (Ph.D. student) and Ruchi (M.S. student) are working on the project



Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

- 3. Development and Validation of Rheological-property based model for prediction of drug release and stability of Transdermal Drug Delivery System. (In collaboration with former LIU professor, Fotios Plakogiannis at the Transdermal Research Pharm Laboratories, LLC, Long Island City, NY)**
  - i. Project has been designed as per scope of the title
  - ii. Nisarg Modi (Ph.D. student) has started working at the Transdermal Research Pharm Laboratories, LLC, Long Island City, NY.
  - iii. Student also gets laboratory resources and financial support by the Transdermal Research Pharm Laboratories, LLC, Long Island City, NY.
- 4. Quality-by-Design (QbD) approach towards better content uniformity: Understanding the powder segregation tendency through accelerated powder segregation tester. Our lab got support (In collaboration with the Globe Pharma Inc.) (Appendix XVII)**
  - i. Globe Pharma Inc. has provided support through their patented instruments to carry out research work.
  - ii. The goal was to provide unique learning opportunity to our M.S. students on the new areas of research.
  - iii. Urvish Parikh (M.S. student) has validated the instrument at the LIU Pharmacy facility.
  - iv. At present, Pawan Kumar Nukula (M.S. student) is working at the Globe Pharma facility to further understand the tendency of powder segregation.
  - v. Student gets lab resources and financial support to carry out the research project
- 5. Synthesis and characterization of Alkali metal salts of Febuxostat: Molecular level understanding of structure and property relationships of FXT salts (in house project)**
  - i. Three salts of Febuxostat were synthesized and characterized for various properties.
  - ii. Kinjal Patel (Ph.D.) student is working on the project and current project progress is attached (**Appendix XIX**)
- 6. Received active Pharmaceutical Ingredients (APIs)/drugs from a professional friend from India to conduct research at the LIU Pharmacy. Some APIs are not easily available in USA and are very expensive. (**Appendix XX**)**



Name: Sarsvatkumar Patel, Ph.D. (Pharmaceutics/Manufacturing Sciences)

**(H) Residential Mailing Address:**

Provide your residential mailing address below. This address is understood as your official address for all University documents related to the final disposition of this application (a University address will not suffice for this purpose). You are responsible for informing the Office of Academic Affairs, in writing, of any changes in this address over the course of the academic year. Please note that the address below (and any subsequent changes) is for personnel action relative to this form **only**. Other University offices such as payroll and benefits must be notified separately from any information relevant to this form and the Office of Academic Affairs.

\_\_\_\_ 4 Ronald Drive \_\_\_\_\_

\_\_\_\_ Apt # 107 \_\_\_\_\_

\_\_\_\_ Colonia, NJ - 07067 \_\_\_\_\_

**I certify that the statements contained herein are true, complete and accurate to the best of my knowledge.**

\_\_\_\_\_  
**Signature**

\_\_\_\_ 03-09-2015 \_\_\_\_\_  
**Date**

# **EXHIBIT T**

## LIU PHARMACY

## CLASSROOM OBSERVATION FORM

**Instructor:** Sarsvat Patel **Course:** PHS 936  
**Observer:** Grazia Stagni **Semester:** Fall 2014 **Date:** 12/03/2014

The following criteria will be used for the evaluation (except for Yes/No items):

Commendable	Meets Expectations	Needs Improvement	Not Applicable
3	2	1	NA

**Observation of lecture**

- |   |          |
|---|----------|
| 1. Objectives/overview of lecture were/was made clear to the students   | <u>3</u> |
| 2. Instructor was prepared  | <u>3</u> |
| 3. Lecture content was well organized and flowed well   | <u>3</u> |
| 4. Instructor spoke at an appropriate pace  | <u>2</u> |
| 5. Instructor presented the material clearly  | <u>2</u> |
| 6. Instructor demonstrated effective presentation skills (e.g., use of non-verbal gestures, eye contact, does not read verbatim, appropriate tone and language) | <u>3</u> |
| 7. Instructor maintained an environment conducive to learning   | <u>2</u> |
| 8. Instructor demonstrated command of the subject matter  | <u>3</u> |
| 9. Lecture content was current and well-balanced  | <u>3</u> |
| 10. Examples were used to help explain the lecture material   | <u>3</u> |
| 11. Instructor was proactive in ensuring that students understood the material (e.g., encouraged questions, thought, and discussion)                            | <u>3</u> |
| 12. Instructor demonstrated respect for students' opinions and comments   | <u>3</u> |
| 13. Instructor provided effective answers to questions  | <u>3</u> |
| 14. Instructor effectively used instructional technologies (e.g., slide presentation)   | <u>3</u> |
| 15. Instructor presented material appropriate for the course level (Yes/No)   | <u>3</u> |
| 16. Instructor presented material relevant to the course (Yes/No)   | <u>3</u> |
| 17. Instructor exhibited a professional demeanor during the session (Yes/No)  | <u>2</u> |
| 18. Instructor was available to begin the session on time (Yes/No)  | <u>3</u> |
| 19. Session ended on time (Yes/No)  | <u>3</u> |

CONTINUES ON OPPOSITE SIDE

**Teaching material (see note)**

**I did not have the opportunity to review course teaching materials, I will be happy to do it if provided.**

1. Handout material is legible
2. Handout material is organized
3. Learning objectives are clearly stated
4. Handout material complements the lecture material
5. Amount of material on the handout is appropriate for the time dedicated to the lecture topic
6. Items that students are not responsible for are clearly indicated
7. References provided (Yes/No)

**Please describe any innovative methods used by the instructor to stimulate learning.**  
(e.g., use of classroom assessment techniques such as one-minute papers, compare/contrast matrices, and one-sentence summaries)

Dr. Patel uses case-based, problem based active learning strategies in group of the students and online search tools in the classroom. Dr. Patel uses latest research articles to integrate learning points in the classroom.

Additional comments:

The overall impression of Dr. Patel teaching was good. Students were paying attention and were engaged in the lecture. He speaks with a strong Indian accent and maybe too fast for me.

Observer's signature: \_\_\_\_\_

Date: \_\_\_\_\_

3/9/2015

LIU000756

# **EXHIBIT U**



Division of Pharmaceutical Sciences

Arnold & Marie Schwartz College  
of Pharmacy and Health Sciences  
75 DeKalb Avenue  
Brooklyn, NY 11201-5497  
718.486.1101  
718.780.4586 Fax

**To:** Division Director, Dean and FRC Members  
**From:** Sarsvatkumar Patel  
**Subject:** Update \_ Faculty Personnel Summary  
**Date:** May 14, 2015

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This memo is to provide an update on the status of 2 original research publications noted below.

The editors of the two journals where I submitted the two manuscripts for publications recently contacted and indicated that the manuscripts were favorably viewed by the reviewers and that if the comments are appropriately addressed may result in acceptance of the manuscript for publication. Please see attached emails received from the two Editors.

1. Jinish Patel, Moksh Jagia, Arvind Kumar Bansal, Sarsvatkumar Patel; Characterization and thermodynamic relationship of three polymorphs of a xanthine oxidase inhibitor, Febuxostat; submitted in the **Journal of Pharmaceutical Sciences** (Published on behalf of the American Pharmacists Association, with the support of the International Pharmaceutical Federation (FIP); Impact factor - 3.007) (First submission on 1<sup>st</sup> November 2014). See attachment I for recent email from the Editor's office.

2. Shruti V Patel and Sarsvatkumar Patel; Prediction of the solubility in lipidic solvent mixture: Investigation of the modeling approach and thermodynamic analysis of solubility; Submitted in **European Journal of Pharmaceutical Sciences** - Official Journal of the European Federation for Pharmaceutical Sciences (EUFEPS); Impact Factor: 3.493). First submission on 24<sup>th</sup> December 2014. See attachment II for recent email from the Editor's office.

Sincerely,

A handwritten signature in black ink, appearing to read 'S. Patel', is written over a faint, circular official stamp.

Sarsvatkumar Patel B Pharm, M Pharm, Ph.D.

LIU000928



Sarsvat Patel <sarsvatpatel@gmail.com>

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## Journal of Pharmaceutical Sciences - Decision on Manuscript ID 14-1028.R1

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hbrittain@embarqmail.com <hbrittain@embarqmail.com>

Sat, Mar 21, 2015 at 2:37 PM

To: sarsvatpatel@gmail.com

21-Mar-2015

Manuscript ID 14-1028.R1 entitled "Characterization and thermodynamic relationship of three polymorphs of a xanthine oxidase inhibitor, Febuxostat"

Dear Mr. Patel:

Experts in the field have carefully reviewed your manuscript and I am happy to report that they recommend acceptance of your paper. However, some concerns were still raised that require your attention before the paper can be accepted in its final form. Accordingly, I invite you to respond to the reviewer's comments and recommendations. A decision on acceptability of your manuscript will be made only after the revised version has been re-evaluated.

To respond to the reviewer's comments, log on to ScholarOne Manuscripts, <https://mc.manuscriptcentral.com/jpharmsci> and enter your Author Center where you will find your manuscript title listed under "Manuscripts with Decisions." Under "Actions," click on "Create a Revision." Your manuscript number has been appended to denote a revision.

You will be unable to make your revisions on the originally submitted version of the manuscript. Instead, revise your manuscript using a word processing program and save it on your computer. Please also highlight the changes to your manuscript within the document by using the track changes mode in MS Word or by using bold or colored text.

Once the revised manuscript is prepared, you can upload it and submit it through your Author Center. Please review the attached document listing the file requirements for your revision.

When submitting your revised manuscript, you will be able to respond to the comments made by the reviewer(s) in the space provided. You can use this space to document any changes you make to the original manuscript. In order to expedite the processing of the revised manuscript, please be as specific as possible in your response to the reviewer(s). You can also use this space to make comments to the Associate Editor.

**IMPORTANT:** Your original files are available to you when you upload your revised manuscript. Please delete any redundant files before completing the submission.

Because we are trying to facilitate timely publication of manuscripts submitted to the Journal of Pharmaceutical Sciences, your revised manuscript should be uploaded within 60 days. If it is not possible for you to submit your revision within the next 60 days, we may have to consider your paper as a new submission.

Once again, thank you for submitting your manuscript to the Journal of Pharmaceutical Sciences and I look forward to receiving your revision.

Sincerely,  
Harry G. Brittain  
Editor, Journal of Pharmaceutical Sciences  
hbrittain@embarqmail.com

Editor's Comments to Author:

Just so you know, the paper will not be accepted unless you address the points raised by the reviewer, and there will be no additional revision opportunities.



Reviewer(s)' Comments to Author:

I find the revised manuscript to be of much better quality than the original. There are still several gaps that the authors should address:

Table 2. The legend notes that the values in parenthesis are the standard deviation of two measurements. Standard deviation calculation is appropriate for three or more replicates of a measurement, not for two. The authors should either generate data in triplicate or report the range of values for the duplicate measurements.

Page 11, line 31-Page 12, line 5. I still find difficulty with the discussion of solution and solution mediated phase transitions. The authors try to ascribe solution-mediated transition to FXT based on its drug load in commercial product and its solubility in water. This is merely a conjecture as there is little to know data to support this. Firstly, they don't provide any literature references for these values. Secondly, as pointed out in reference 54 which they cite, the two processes, solution and solution-mediated phase transitions, involve many different factors and parameters, most of which are outside the scope of this manuscript. My suggestion would be to exclude this point from the manuscript.

Page 12, line 17-53. Although this section has been re-written based on my previous comments, I still find difficulty with this. Firstly, it is not obvious where Equation 11 comes from. The authors should provide its derivation in a similar manner as what they did for other equations in the manuscript. Also, to what process does the  $\Delta G$  refer to, the energy difference between polymorphs? If so, that should be clearly stated. Secondly, using this approach the authors obtain the curves and thermodynamic quantities that are highly dependent on the experimental parameters, i.e. the heating rate. That is not something that one would expect for state properties and the authors should explain why that is the case here.

In order for this manuscript to be acceptable to me, the authors need to make the necessary corrections and edits that I have highlighted above.

## Your Submission

ees.ejps.0.30f84d.fdda8849@eesmail.elsevier.com on behalf of European Journal of  
Pharmaceutical Sciences [ejps@sdu.dk]

Sent: Saturday, May 02, 2015 12:58 AM

To: Sarsvatkumar Patel; sarsvatpatel@gmail.com

Ref.: Ms. No. EJPS-D-14-01089R1

Prediction of the solubility in lipidic solvent mixture: Investigation of the modeling  
approach and thermodynamic analysis of solubility  
European Journal of Pharmaceutical Sciences

Dear Dr. Patel,

Reviewers have now commented on your paper. You will see that they are advising that  
you revise your manuscript. If you are prepared to undertake the work required, I would  
be pleased to reconsider my decision.

For your guidance, reviewers' comments are appended below.

If you decide to revise the work, please submit a list of changes or a rebuttal against  
each point which is being raised when you submit the revised manuscript.  
Also, if you are resubmitting the manuscript please specify the page of the PDF where  
the changes have been made

The revision should be submitted within 2 months. If you cannot meet the 2-month  
deadline, please contact me and explain why more time is needed. Extra time to revise  
manuscripts is granted on a case-by-case basis.

To submit a revision, go to <http://ees.elsevier.com/ejps/> and log in as an Author. You  
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PLEASE NOTE: European Journal of Pharmaceutical Sciences would like to invite you to  
enrich your article by including a list of up to 10 names of chemical compounds studied  
in the article. The list of compounds will be used to extract relevant information from  
the NCBI PubChem Compound database and display it next to the online version of the  
article on ScienceDirect. To learn how this can be done please refer to the "Chemical  
compounds" section of the Guide for Authors or check <http://www.elsevier.com/PubChem>

Yours sincerely

Martin Brandl, Dr. rer. nat. habil  
Editor In Chief  
European Journal of Pharmaceutical Sciences

Reviewers' comments:

Reviewer #1: Comments

1) The sentence

"We have analyzed the bottom phase after the solubility experiments at various temperatures and did not find any evidence of phase change"  
Should be introduced in the text (at appropriate place)

2) It should be presented measurement accuracy in Tables 2, 3, 4

The paper can be published in the Journal after revision of the mentioned points.

Reviewer #2: The manuscript is improved but the graphical abstract is much too busy.  
It should be simplified.

# **EXHIBIT V**

Judge of the work of others in the field

**Sarsvatkumar Patel, M. Pharm, Ph.D.**  
Assistant Professor  
Division of Pharmaceutical Sciences

Arnold & Marie Schwartz College of Pharmacy and Health  
Sciences; Long Island University, Brooklyn, NY 11201  
Phone: 718-780-4547; Email: sarsvatkumar.patel@liu.edu

### **Judge of the work of others in the field**

#### **1. Reviewer for the manuscripts:**

Information on publications in which Dr. Patel has peer-reviewed

<b>Sr. No.</b>	<b>Title</b>	<b>Journal</b>
1.	The Influence of Granule Density on Granule Strength and Resulting Compact Strength	Chemical Engineering Science
2.	Effects of Excipient and Formulation Types on Compressional Properties of Diclofenac	Journal of Excipients and Food Chemicals
3.	Use of 3-D modelling in early development phase of pectin tablets	Journal of Excipients and Food Chemicals
4.	Optimization of critical formulation ingredients in the development of generic Valacyclovir HCl Tablets using 2 <sup>3</sup> full factorial design of experiments	Journal of Excipients and Food Chemicals
5.	Development and characterization of a novel controlled release transdermal delivery system based on nanostructured lipid carriers gel for meloxicam.	Life Sciences
6.	Formulation and optimization of orodispersible tablets of olmesartan medoxomil	Journal of Excipients and Food Chemicals
7.	Physiologically based pharmacokinetic modeling for assessing the clinical drug-drug interaction of alisporivir	European Journal of Pharmaceutical Sciences
8.	Comparative evaluation of two solid dispersion approaches- Spray drying and Hot melt extrusion with respect to industrial feasibility	Proceedings of the National Academy of Sciences
9.	Triphasic simulation of the effect of ionic concentration on drug release from polyelectrolyte hydrogel carriers	European Journal of Pharmaceutical Sciences
10.	In vitro and in vivo evaluation of fast-dissolving tablets containing solid dispersions of Oxcarbazepine	Journal of Advanced Pharmaceutical Technology & Research
11.	A comprehensive review on gastro retentive drug	International Journal for

Judge of the work of others in the field

	delivery system with perspective of raft formulations	Pharmaceutical Research Scholars
12.	Quantitative NTCP Pharmacophore and Lack of Association between DILI and NTCP Inhibition	European Journal of Pharmaceutical Sciences
13.	A novel highly potent and selective 11 $\beta$ -hydroxysteroid dehydrogenase type 1 inhibitor, UI-1499	Life Sciences
14.	Effect of oil, surfactant and co-surfactant concentrations on the phase behaviour, physico-chemical properties and drug release from self-emulsifying drug delivery systems	Journal of Drug Discovery, Development and Delivery
15.	Pharmaceutical Development and Pharmacokinetic Evaluation of Gastroretentive Floating Matrix	International Journal for Pharmaceutical Research Scholars
16.	Developing spray-dried powders containing anthocyanins of black raspberry juice encapsulated based on fenugreek gum	Advanced Powder Technology
17.	Cocrystal screening of hydroxybenzamides with benzoic acid derivatives: A comparative study of thermal and solution-based methods	European Journal of Pharmaceutical Sciences
18.	Analysis of dynamic similarity and energy-saving mechanism of the grinding process in a horizontal planetary ball mill	Advanced Powder Technology
19.	Emodin attenuates cigarette smoke-induced acute lung inflammation and oxidative injury	Life Sciences
20.	Investigating the critical role of variegated lubricants/glidants on lag time of press coated ethylcellulose tablets	International Journal of Pharmaceutics
21.	Pharmacokinetics of treosulfan and its active monoepoxide in pediatric patients after intravenous infusion of high-dose treosulfan prior to HSCT	European Journal of Pharmaceutical Sciences
22.	The electroless deposition of nickel-phosphorus on hexagonal boron nitride particles	Advanced Powder Technology
23.	Emulsion based gel technique: novel approach for enhancing topical drug delivery of hydrophobic drugs	International Journal for Pharmaceutical Research Scholars
24.	Integrated HPV genome in cervical cancer cell lines CaSki, HeLa, and SiHa tend to transcript in gene desert areas	Life Sciences
25.	Engineering of a hybrid polymer-lipid nanocarrier for the nasal delivery of tenofovir disoproxil fumarate: Physicochemical, molecular, microstructural, ex-vivo permeation and stability evaluation	European Journal of Pharmaceutical Sciences



Judge of the work of others in the field

**Sarsvatkumar Patel, M. Pharm, Ph.D.**  
Assistant Professor  
Division of Pharmaceutical Sciences

Arnold & Marie Schwartz College of Pharmacy and Health  
Sciences; Long Island University, Brooklyn, NY 11201  
Phone: 718-780-4547; Email: sarsvatkumar.patel@liu.edu

## 2. Reviewer/Judge for the research thesis for the Masters/Ph.D. degrees in Pharmaceutical Sciences

I have graduated following students with M.S. degree in Pharmaceutical Sciences (copy of title page attached)

Sr. No.	Title	Degree
1.	To study the release of aripiprazole gel through cellulose membrane and human cadaver skin using different permeation enhancers	Masters of science with specialization in Industrial pharmacy (Feb 2013)
2.	Assessing the permeability of a potent Antipsychotic drug (risperidone) through human Cadaver skin: effect of permeability enhancers And formulation variables	Masters of science with specialization in Industrial pharmacy (May 2014)
3.	Characterization and thermodynamic relationship of three polymorphs of a xanthine oxidase inhibitor drug Febuxostat	Masters of science with specialization in Industrial pharmacy (September 2014)

Served on the committee to judge the research work of the students enrolled in Masters/Ph.D. degrees in Pharmaceutical Sciences (copy of title page attached)

Sr. No.	Title	Degree	Appendix #
4.	An Improved Method to Determine and Characterize the Solubility of Drugs in Solid Polymers		
5.	Pharmacology student of Kenza		
6.	In vitro diffusion studies for the assessment & optimization of the drug release from various dermatological formulations of verapamil hydrochloride	Masters of science with specialization in Industrial pharmacy (May 2014)	
7.	Pharmacokinetics of diclofenac sodium in plasma and skin following iv infusion in a rabbit model	Masters of science with specialization in Industrial pharmacy (May 2014)	

Judge of the work of others in the field

<b>8.</b>	To study the release of aripiprazole gel through Cellulose membrane and human cadaver skin using Different permeability enhancers	Masters of science with specialization in Industrial pharmacy (May 2013)	
<b>9.</b>	To understand the effect of sol vents on rheological Properties of microcrystalline cellulose granules using Hydroxypropyl methylcellulose as a binder and Evaluate the effect of relative humidity on the Rheological properties of granules	Masters of science with specialization in Industrial pharmacy (September 20,2013)	
<b>10.</b>	Comparative Study of Iontophoresis and Iontophoresis/Microporation-pretreatment of Diclofenac Sodium delivery in Rabbit	Masters of science with specialization in Industrial pharmacy (May 2013)	
<b>11.</b>	In vitro diffusion studies for the assessment & Optimization of the drug release from various Verapamil hydrochloride dermatological Formulations	Masters of science with specialization in Industrial pharmacy (May 2014)	
<b>12.</b>	Assessing the permeability of a potent Antipsychotic drug (risperidone) through human Cadaver skin: effect of permeability enhancers And formulation variables	Masters of science with specialization in Industrial pharmacy (May 2014)	
<b>13.</b>	To study the release of verapamil hydrochloride Gel through cellulose membrane and human cadaver Skin using different permeability enhancers	Masters of science with specialization in Industrial pharmacy (January 2014)	
<b>14.</b>	Design, synthesis and in vitro biological Evaluation of new tra~sthyretin (ttr) amyloid Fibril formation inhibitors	Master of science with specialization in pharmacology and Toxicology (August 2013)	
<b>15.</b>	In vitro diffusion studies for the assessment & Optimatization of promethazine hydrochloride Dermatological formulations	Masters of Science with specialization in Industrial pharmacy (May 2014)	